EFFORT REPORTING PROCEDURE
AND
"BEST PRACTICES" MANUAL
FOR MANAGING EFFORT REPORTING

VOLUME I

UNIVERSITY OF TEXAS MEDICAL BRANCH

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VOLUME I

INTRODUCTION AND USE OF MANUAL FOR BEST PRACTICES OF EFFORT REPORTING AT UTMB

The procedures for effective use of The University of Texas Medical Branch's (UTMB) effort reporting policies and guidelines are contained in the following Effort Reporting Procedure and Best Practices Manual. This Manual is designed to detail the implementation of the effort reporting policies at UTMB and to provide a reference for best practices for managing effort.

This is not intended to be a full reference manual for the use of PeopleSoft HCM or the HCM queries that have been developed at UTMB for reporting within HCM. It is also not intended as an operational reference guide for the ECRT system.

I. Recent Updates

(This section is to be used as an Executive Summary for updates to this Procedure Manual)

II. Implementation of Effort Reporting at UTMB

A. Institutional, Federal and State guidelines

The guidelines for Effort Reporting at UTMB have been established by federal, UT System and institutional guidelines (detailed in the table below). At UTMB, the Effort Reporting and Certification Tool (ECRT) has been installed as the institutional system for capturing and confirming effort. The Effort Reporting Procedure and Best Practice Manual is intended to be a supplement to the following guidelines:

Policy/Guideline /Regulation	Constituency	Purpose	Link
OMB Circular A-21	Federal	Principles for determining the costs applicable to research and development, training, and other sponsored work performed by colleges and universities under grants, contracts, and other agreements with the Federal Government	http://www.whitehouse.gov/OMB/circulars/index.html
NIH Grants Policy Statement	Federal	NIH grant awards that provide reimbursement of actual, allowable costs incurred are subject to federal cost principles	http://grants.nih.gov/grants/policy/
UTS 163	UT System	UT System guidance on Effort reporting policies and the minimum requirements for each policy area	http://www.utsystem.edu/policy/policies/uts163.html
UTMB Effort Reporting Policy	Institution	IHOP Effort Reporting Policy	http://www.utmb.edu/Policies_And_Procedures/Fiscal_Related/PNP_052316
UTMB Cost Sharing Policy	Institution	IHOP Cost Sharing Policy	http://www.utmb.edu/Policies_And_Procedures/Fiscal_Related/PNP_052317
UTMB Cost Transfer Policy	Institution	IHOP Cost Transfer Policy	http://intranet.utmb.edu/Policies_And_Procedures/Search_Results/PNP_052315
UTMB Consistent Treatment of Costs	Institution	IHOP Consistent Treatment of Costs Policy	http://research.utmb.edu/osp/procedure_cost.shtm

B. Required Training

UTMB has established a training program for effort reporting. The training (see Table below for available training options and deadlines) is required for all employees with ECRT roles (identified in Vol. I Section IIIC) who plan to access ECRT. This includes Effort Coordinators, Primary and Supporting Individuals. This training will cover the concept of effort reporting as well as the Effort Reporting Guidelines (identified in Section IIA) and ECRT system functionality. This required training is effective for new hires, transfer employees, employees newly paid on sponsored projects or anyone who is or will be in the Effort Coordinator role.

Primary and Supporting Individuals (see definitions below) will not be permitted to enter their effort within ECRT without completing their required training courses. Research Services will maintain a list of the individuals requiring training including a list of all those who have completed the assessments resulting from this training course.

> **Primary Individual**: A person listed as principal investigator, project director, co-investigator, co-project director, or those with comparable responsibilities on a sponsored project. A Primary Individual typically, but not always, carries an academic (i.e. faculty) appointment.
>
> **Supporting Individual:** An employee, other than a Primary Individual, who has expended effort on a sponsored program. The supporting individual may or may not have been identified on the funded application and typically does not have committed effort greater than the amount paid on a specific Sponsored Program. An individual designated as key personnel (see definition before) may be either a Primary Individual or a Supporting Individual based on the unique circumstances of a specific sponsored project.

The penalties for non-compliance with these requirements will be denial of access to the ECRT system for effort coordinators. Salary sourced to Sponsored Projects can be removed from the Sponsored Project for failure to report effort by use of the ECRT system or by appropriate reporting that is loaded into ECRT by departmental Effort Coordinators.

TRAINING CURRICULUM				
ROLES	**OPTIONS**	**LOCATION**	**Initial Deadline for Completion**	**"KEEP IN MIND"**
Primary/ Supporting Individuals	Online Training	http://training.utmb.edu/	April 23, 2008	Make sure the latest "Authorware" is installed on the desktop before beginning the online course
	Classroom Training	Various Locations http://research.utmb.edu/comp-effort/	April 23, 2008	Classroom training will be available on a quarterly basis after system implementation
	Self Study Tutorial	http://mytraining.utmb.edu/research/default.htm	Anytime	Tutorial – Step by Step "How To's" for Primary and Supporting Individuals
Effort Coordinator	Classroom ONLY	Classroom ONLY	April 9, 2008	Effort Coordinators can not perform any actions in ECRT without completing training
Note: Both Classroom and Online training will require that every person in these roles complete an assessment at the end of the course. Re-training will be required every three years from the initial training course completion (schedules will be available at the following link). Continuous training available for employees that are new to effort reporting. http://research.utmb.edu/comp-effort/training.shtm				

III. UTMB's Effort Certification and Reporting Tool (ECRT)

A. UTMB's Electronic Effort Reporting System (see below link for access)

https://ecrt.mdanderson.org/ecrt_utmb

UTMB uses an electronic effort reporting system called "Effort Certification and Reporting Tool" (ECRT). The ECRT system, developed by Huron Consulting in conjunction with West Monroe Partners is the official system of record for effort reporting, commitment management and recording of salary cost sharing at UTMB. Other internally developed systems and databases may be used to provide management tools but the institutional book of record for effort reporting at UTMB is the ECRT system.

The use of ECRT is a UT System shared-services initiative and the ECRT Server is being housed and maintained at The University of Texas M.D. Anderson Cancer Center.

B. UTMB's Effort Reporting Periods

Effective September 1, 2007, UTMB has elected to require that all employees expending effort on Sponsored Projects, whether salaries are charged to the Sponsored Project or not, to report effort on a semi-annual basis. The time periods for effort performance during fiscal year 2008 are defined below:

The First (1st) Semi-Annual Period for FY 2008 is:

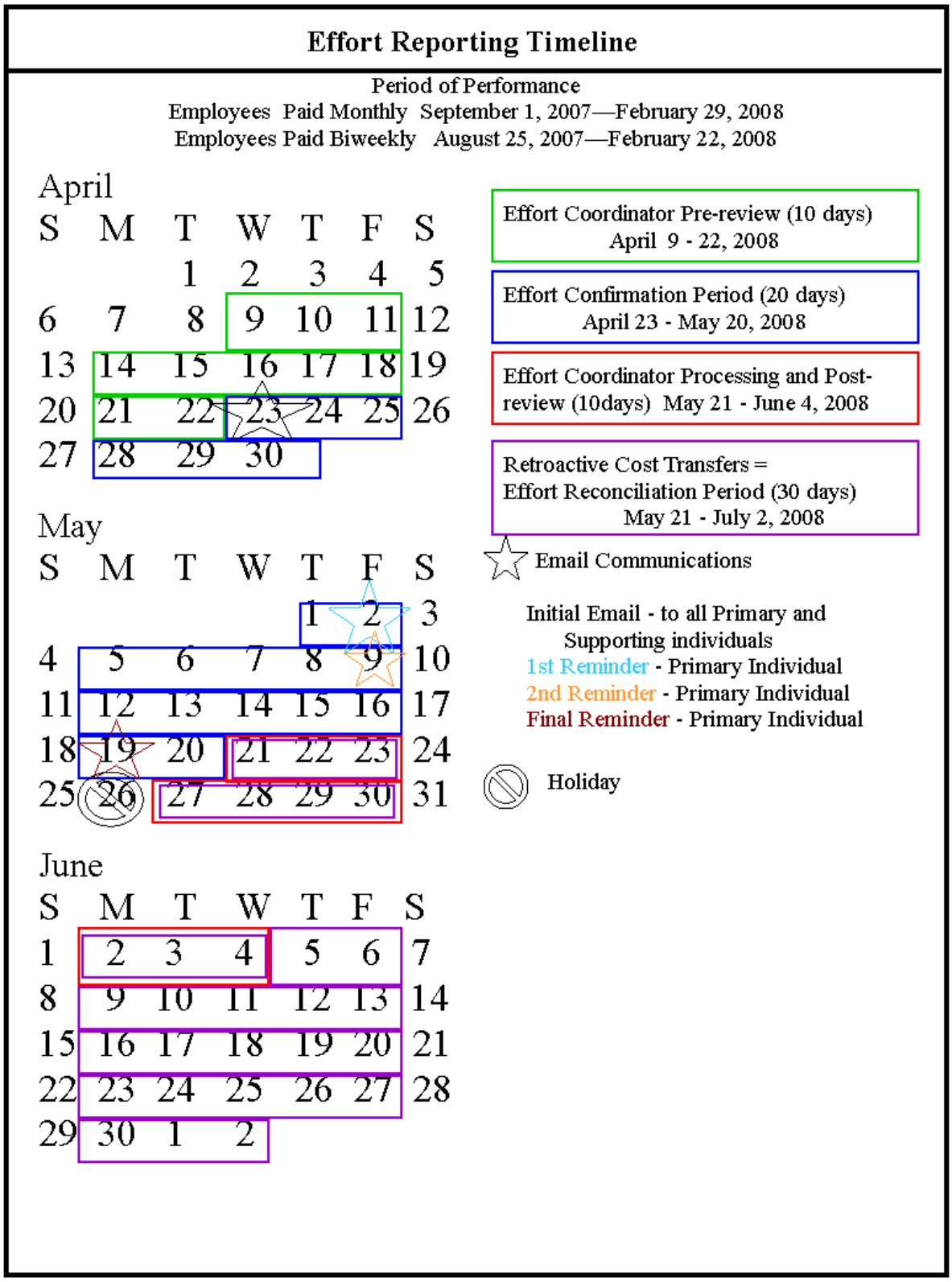
September 01, 2007 through February 29, 2008 for monthly-paid employees
August 25, 2007 through February 22, 2008 for biweekly-paid employees

The Second (2nd) Semi-Annual Period for FY 2008 is:

March 01, 2008 through August 31, 2008 for monthly-paid employees
February 23, 2008 through August 22, 2008 for biweekly-paid employees

(see Item 1 on the next page for an Example of a detailed Effort Cycle Timeline)

1. Example: 1st Semi-Annual FY2008 Period Timeline


Effort Reporting Timeline
Period of Performance
Employees Paid Monthly September 1, 2007—February 29, 2008
Employees Paid Biweekly August 25, 2007—February 22, 2008
April
S M T W T F S
1 2 3 4 5
6 7 8 9 10 11 12
13 14 15 16 17 18 19
20 21 22 23 24 25 26
27 28 29 30
May
S M T W T F S
1 2 3
4 5 6 7 8 9 10
11 12 13 14 15 16 17
18 19 20 21 22 23 24
25 26 27 28 29 30 31
June
S M T W T F S
1 2 3 4 5 6 7
8 9 10 11 12 13 14
15 16 17 18 19 20 21
22 23 24 25 26 27 28
29 30 1 2
Effort Coordinator Pre-review (10 days)
April 9 - 22, 2008
Effort Confirmation Period (20 days)
April 23 - May 20, 2008
Effort Coordinator Processing and Post-review (10days) May 21 - June 4, 2008
Retroactive Cost Transfers =
Effort Reconciliation Period (30 days)
May 21 - July 2, 2008
Email Communications
Initial Email - to all Primary and Supporting individuals
1st Reminder - Primary Individual
2nd Reminder - Primary Individual
Final Reminder - Primary Individual
Holiday

C. ECRT Roles and Responsibilities

The ECRT system has pre-defined roles for various levels of system management, effort management and processing. These pre-defined roles (detailed in the table below) have specific rights assigned to them. Research Services assigns central management roles, departmental roles and Primary and Supporting Individual roles within ECRT. The departmental roles are assigned at the department's discretion.

ROLES	RIGHTS & TASKS
CENTRAL	
(Research Services, Audit, IT, Compliance, etc.)	
Central Effort Coordinator	Monitors and manages ECRT system
	Re-open Effort Card after the Effort Reporting Period has closed
DEPARTMENTAL	
Department Administrator (for Departmental or Center Administrators)	Responsible for working with the Chair/Director to oversee effort reporting for their department.
	Ensures cost sharing is properly documented and funded and that there is sufficient funding to cover all Non-Sponsored activity
	May enter effort on behalf of Primary and Supporting Individuals but may NOT certify effort
	Manage Effort Coordinator and assign the leads
	May serve as a delegate for a Lead Effort Coordinator
	Initiate any salary adjustments necessary during the 10 day Processing and Post-Review Period
Lead Effort Coordinator	Responsible for overseeing effort reporting for their assigned department
	Monitors effort system for completion of Effort Cards
	Coordinates with other Effort Coordinators if any project staff is also funded by another principal investigator's Sponsored Projects
	May enter effort on behalf of Primary and Supporting Individuals and may "certify" effort by the end of the Processing and Post Review Period as long as a Paper Effort Form is attached to the Effort Card for the Sponsored Projects
	Reviews effort allocations of project staff with principal investigator
	Ensures cost sharing is properly documented and funded and that there is sufficient funding to cover all Non-Sponsored activity
	Initiate any salary adjustments necessary during the 10 day Processing and Post-Review Period
	Processes the Effort Cards for the department during the Processing Period
Effort Coordinator	Monitors effort system for completion of Effort Cards
	Coordinates with other Effort Coordinators if any project staff is also funded by another principal investigator's sponsored projects
	Reviews effort allocations of project staff with principal investigator
	May enter effort on behalf of Primary and Supporting Individuals but may NOT certify effort
	Ensures cost sharing is properly documented and funded and that there is sufficient funding to cover all Non-Sponsored activity
	May serve as a delegate for a Lead Effort Coordinator
	Initiate any salary adjustments necessary must be initiated by Effort Coordinators during the 30 day Processing and Post-Review Period
Department-"Read Only"	Monitors effort system for completion of Effort Cards
	Reviews effort allocations of project staff with principal investigator
	Generate and view ECRT reports

ROLES	RIGHTS & TASKS
PRIMARY/SUPPORTING	
Primary Individual (1)	Employee listed as principal investigator, project director, co-investigator, co-project director, or those with comparable responsibilities on a Sponsored Project.
	Typically, but not always, carries an academic (i.e. faculty) appointment
	Responsible for confirming their own effort
	Responsible for confirming all Supporting Individuals working with them on their awards
	NOT responsible for confirming effort for other Primary Individuals including co-investigators and other faculty
Supporting Individual (1)	Employee other than a Primary Individual who has expended effort on a Sponsored Projects
	May or may not have been identified on the funded application and typically does not have committed effort greater than the amount paid on a specific Sponsored Project
	May be responsible for entering effort on personal Effort Card
	Not responsible for confirming their own effort
(1) NOTE: An individual designated as key personnel may be either a Primary Individual or a Supporting Individual based on the unique circumstances of a specific Sponsored Project.	

D. ECRT Functionality

The ECRT system receives payroll updates weekly (Sunday) from the payroll source system (HCM). These updates are reflected in the Effort Card as the payroll is loaded into ECRT. ECRT generates an Effort Card for every individual with salary at UTMB and/or every individual with effort commitments on a Sponsored Project.

Employees that are not paid nor have commitments on a Sponsored Project are not required to manage their Effort within ECRT. The Effort Cards for these individuals will be automatically processed each effort reporting period, but are available within ECRT should there be a need to access them.

Employees that are **paid** and/or have **commitments** on Sponsored Projects are required to manage effort and/or cost sharing commitments within ECRT.

IV. Best Practices for Managing Effort

(See Vol. I Section V- "Tip Sheet" for a brief outline of these steps)

A. Performance Period – (6 Months)

All Primary and Supporting Individuals will have a six (6) month Performance Period when they perform work on Sponsored Projects and/or Non-Sponsored Projects (for the purposes of this manual, Non-Sponsored Project means all projects that are **NOT** managed in the PeopleSoft Grants Module) at UTMB. During this Performance Period, the Effort Coordinator should be performing Monthly Management (detailed below) tasks to monitor any changes in salary, commitments and/or effort. After the last payroll run of this period, the effort Pre-Review Period will begin in ECRT.

Monthly Management of Effort Reporting

Each month, the Effort Coordinator should review all of his/her employees' salary [see Note (a) below for salary distinction] in ECRT. This monitoring process allows the Effort Coordinator to see the "salary build" by using a simple ECRT Reporting Tool (the Effort Certification Payroll Report) and/or by reviewing the Effort Card. The Effort Coordinator should use this report and/or the Effort Card to identify the appropriate transactions, to ensure the correct salary distributions and to manage salary charged to grants. If further investigation or analysis is needed, the Effort Coordinator should use the following Monthly Management Tools (definitions and steps to utilize these tools are identified in Vol. II Section I) to complete his/her monthly review process.

MONTHLY MANAGEMENT TOOLS	
HCM Queries	**ECRT Tools**
HCM: Department Budget Table History	**Salary Resolution Report (available after Effort Confirmation)**
Department: GL Total Salary Report	**List of PI's Researchers**
Payroll: GL Salary and Hours Whole Person Report	**Account/Award Summary**
T&E: GL Base Salary Summary	**Sponsored Project Activity Report**
Payroll: Source Expiration Report	**Cost Share Report**
Department: Whole Person with Funding	**Effort Certification Payroll Report**
	Effort Card
	Monthly Funding and Effort Information Report

NOTE: (a) The Effort Card within ECRT will only reflect Institutional Base Salary (IBS) which is defined in the glossary of this manual.

The Effort Coordinators should periodically communicate with Primary Individuals to discuss changes to effort commitments and/or grant requirements.

The Effort Coordinators should also communicate with other Effort Coordinators and Primary Individuals to discuss collaborations that cross departmental boundaries.

It is important to note that retro-active labor cost transfers (see glossary for definitions) may not appear in the General Ledger and ultimately in ECRT within the Effort Certification Period. Therefore, all HCM Department Budget Request (DBR) forms should be submitted at least three (3) to four (4) weeks before the "Pre-Review" period (detailed below) in order to provide time for them to be processed by the EAST team and Payroll. The Effort Coordinators should use the RAS Effort Reporting Worksheet (see Vol. II Section I-Quick Reference Guide) to confirm that the proposed salary re-distribution allocations get distributed as requested in HCM.

B. Pre-Review Period Management of Effort Reporting – (10 Days)

The Pre-Review Period is a ten (10) day period of time set aside for the departmental Effort Coordinators to review the Effort Cards before the cards are reviewed by the Primary and Supporting Individuals. Departmental Effort Coordinators will verify that salary sourcing is appropriate and enter any known cost sharing. At this time, Effort Coordinators may enter the effort percentages as they understand them for the Primary and Supporting individuals.

During the Pre-Review Period, the Effort Coordinator should confirm that all his/her employees have an Effort Card. The Effort Coordinator should contact Research Services for the following reasons: an employee does not have an Effort Card, one of the department's grants has incorrect information, or one of the HCM funding sources is missing from the Effort Card.

The Effort Coordinator should use the Monthly Management Tools (see Table in the above Section IVA) to confirm salary distribution and/or to enter any salary cost sharing (i.e. mandatory, voluntary, over-the-cap) for his/her employees.

Once this analysis is complete for all employees, the Effort Coordinator should submit any necessary DBR Forms to ensure that salary is re-distributed within the Effort Reconciliation Period. If any DBR forms are submitted during this period, the Primary and Supporting Individuals may not see these salary re-distributions during the Effort Confirmation Period. Therefore, the Effort Coordinators should communicate with the Primary Individuals to let them know of any changes to salary and/or cost sharing commitments. After the Pre-Review Period, the Effort Confirmation will begin and all Primary and Supporting Individuals will have 20 days to view, enter, and/or confirm their effort.

"KEEP IN MIND"

1. Primary Individual Effort Thresholds

The following are the minimum and maximum thresholds established by UTMB for individual's Sponsored Project portfolios. These minimums and maximums should be discussed by the Primary Individual and his/her supervisor if the total commitments at UTMB add up to more than 100% or if an individual has responsibilities that meet any of the criteria below. The

decision about whether an individual meets any of these criteria will be dependent on the job title of the individual (chair, division chief, etc), the job duties of the individual (program director, residency director, etc) and an evaluation by the Primary Individual and supervisor of the different workloads and Non-Sponsored commitments of the individuals. Individuals can be initially considered under the guidelines of a 90% maximum on Sponsored Projects and then commitments are added and/or subtracted that might affect that maximum percentage.

- A maximum of 97% total effort that can be committed to a sponsored project
- A maximum of 90% total effort for faculty with administrative / clinical / teaching duties such as medical school course director / clinical program advisor / significant clinical responsibilities
- A maximum of 85% total effort for basic science chairs, center directors and clinical department division chiefs
- A maximum of 80% total effort for clinical department chairs
- A minimum of 1% minimum effort on clinical trials
- A minimum of 1% minimum effort on other Sponsored Projects (i.e. CTD contracts, private sponsors)

2. Effort Tolerance

After effort has been entered in the ECRT system and confirmed by the Primary Individual, it is necessary for salary to be aligned with that effort percentage within certain limits (listed below).

a) Over-the-Cap - All faculty and employees that are paid over the NIH Salary Cap and have reported effort on an NIH Sponsored Project must assure that their salary aligns with effort in a more exact manner. Therefore, care should be given to ensure that salary for faculty and employees charged to NIH Sponsored Projects is done on a percentage of the current NIH cap amount rather than total IBS. Example: A faculty member makes more than the NIH cap and reports 30% on his/her NIH project. Only 30% of the IBS and 30% of the NIH cap must be reported as mandatory cost sharing.

Note: It is a best practice for that individual, whenever possible, to round effort entered to the next higher percentage if the two decimal salary percentage reasonably reflects the professional effort expended. Rounding down creates an excess workflow for the departments and the back office; therefore, it is strongly discouraged.

b) 1% Tolerance - At UTMB, the tolerance for salary adjustments on an individual award related to effort reporting is + or – 1 percentage point of the IBS salary. Salary adjustments are not required if the 1 percentage point variance equals $30 or less.

Effort percentages are always entered in whole percentages, i.e. 40%, not 40.23%. Salary, however, is reported to two decimal points, i.e. 40.22%. Individuals should round their effort percentage to the closest whole number. This is a reasonable expectation because effort is always assumed to be an individual's best estimate of the effort expended.

3. Training Grants and Other Special Funding Mechanisms

Effort does not have to be reported on equipment and instrumentation grants, doctoral dissertation grants, and augmentation grants.

Recipients of fellowship, training and other stipend-type grants should comply with the requirements of these grants regarding effort expended and salary allocated.

C. Effort Confirmation Period Management of Effort Reporting – (20 Days)

During the Effort Confirmation Period, Supporting Individuals may enter their effort, then save it for the Primary Individuals to "agree" and "certify" the Supporting Individuals' effort. The Primary Individuals will enter their effort, and then confirm the effort for themselves and/or all Supporting Individuals working on the Primary Individual's Sponsored Projects. Effort is confirmed in ECRT when the "Certify" button is selected by the Primary Individual. In a special case where a "Printed" Effort Form is going to be used, the Lead Effort Coordinator (see Section IIIC for definition of this role) must have this form completed and signed by the Primary Individual. Once the Printed PDF Effort Form is signed and attached to the Effort Card, the Lead Effort Coordinator can select the "Certify" button on behalf of the Primary Individual.

Note: The Lead Effort Coordinator can use this Printed Effort Form to select the "Certify" button during this period until the end of the Effort Processing and Post-Review Period (defined in Vol. I Section IVD)

The Effort Coordinators should let the Primary Individuals know of any outstanding DBR Forms. The Primary Individuals and departmental Effort Coordinators should be aware of all Sponsored Project end dates and any new awards (competing and non-competing renewals). The Effort Coordinator should stress that the awarded commitment for a project is based on a "one-year" budget period and UTMB's Effort Confirmation Period is for six months (i.e. 100% effort for 3 months translates to 50% effort on the Effort Card).

The Effort Coordinator should encourage timely effort confirmation. The Effort Coordinator should explain to the Primary Individual how critical it is to confirm his/her

effort and all Supporting Individuals' effort by the end of Confirmation Period. During this period, email reminders will be distributed to the Primary Individuals who have not confirmed their effort. At the end of this period, the Primary Individuals should understand that their "Certify" button will be turned off in ECRT.

The Lead Effort Coordinator should, as a last check before processing the Effort Cards, generate the ECRT Salary Resolution Query (see Vol. II Section I for details) to review cost sharing and to make sure cost transfers have been addressed with DBR Forms submittals. The Lead Effort Coordinator can and should start "processing" (see Vol. II Section I for details) for all Confirmed Effort Cards. After processing the Effort Cards, the Lead Effort Coordinator should be monitoring his/her "Manage Effort Tasks" (see Vol. II Section II for details) and submit any necessary DBR Forms and/or cost sharing information. Once these Tasks have been addressed, the Lead Effort Coordinator should, periodically, check the Effort Cards to see that the salary aligns with effort. Once the cost transfers and/or cost sharing have been addressed in the Effort Card, the Lead Effort Coordinator should go to his/her "Manage Effort Task" link then "resolve" (see Vol. II and Section II for details) all Effort Cards that have been corrected in ECRT.

"KEEP IN MIND"

Within the ECRT system the term "certification" is used interchangeably with the word "confirmation". UTMB has taken the position that the word "confirmation" more appropriately describes the action that the Primary Individual's action when he/she reviews that the effort stated on the Effort Card is a reasonable reflection of the professional work performed.

Wherever possible the word "certification" has been changed to "confirmation" but there is some program coding that prohibits us from changing the terminology throughout ECRT.

When the Primary Individual is selecting the "Certify" button for his/her effort, he/she is confirming the following statement:

"*I confirm that the salary charged, salary transfers processed and effort reported this period reasonably reflect the work performed in the designated period, and that I have sufficient knowledge and/or I am in a position that provides me with suitable means of verification that the work was performed."*

D. Effort Processing and Post Review Management of Effort Reporting – (10 days)

After the Effort Confirmation Period has closed and the Primary Individual's "Certify" button has been turned off, the Lead Effort Coordinator has a 10-Day period (Effort Processing and Post Review Period) to collect printed Effort Cards, and select the "Certify" button.

During this period, the Lead Effort Coordinators should review the confirmed Effort Cards and return any Effort Cards to the Primary Individuals that need adjustments (i.e.

cost sharing, salary adjustments, etc.). The Lead Effort Coordinator should submit any necessary DBR Forms.

As long as the Lead Effort Coordinator has submitted any DBR Forms, entered cost sharing information and uploaded the printed Effort Cards by the end of this period, salary will not be moved from the Sponsored Project to departmental funds (designated by the department).

E. Effort Reconciliation Period Management of Effort Reporting – (30 Days)

The final 30 days of the effort cycle is the Effort Reconciliation Period. This period is for the departmental Effort Coordinators to initiate all necessary salary adjustments related to the effort confirmed. If the Lead Effort Coordinator has processed Effort Cards that may still need salary cost sharing information, he/she should contact Research Services to reopen the Effort Card in order to enter the salary cost sharing information.

Note: Once the Effort Card has been confirmed and the Effort Reconciliation Period is over, changes to the Confirmed and Processed Effort Cards will be allowed only in exceptional circumstances.

F. Special Situations in Management of Effort Reporting

1. Expired Grants

Department should not submit DBR forms that re-distribute salary onto or off of Sponsored Projects that are flagged as “Closed” or “Pre-Closed” (see glossary for definitions) in the PeopleSoft Grants Module without contacting Research Services. If salary is being moved to/from a Closed or Pre-Closed Sponsored Project, those salary expenditures will not actually be charged to those Sponsored Projects. Instead, those expenditures will be allocated to UTMB’s Institutional Suspense (“S” Suspense Accounts) account and will have to be manually adjusted at a later date.

2. Salary on Departmental Suspense

If salary has been or will be sourced to the departmental suspense accounts, the departmental Effort Coordinators should monitor these accounts closely and perform the following steps as a “best practice”.

1. Every month and/or during Effort Reconciliation, the Effort Coordinator should generate the following HCM queries using the Departmental Suspense Account numbers (PxxxxxB00):

    a. HCM: Department GL Total Salary query (for steps see Vol. II Section I)
    b. HCM: Funding By Combo Codes,
    c. Payroll Source Expiration

2. The departmental Effort Coordinator should submit a DBR form to re-distribute salary "off" of those suspense accounts

3. Once the necessary DBR forms have been submitted, the departmental Effort Coordinator should wait for an appropriate period of time (see Vol. I Section III) then generate the following reports to ensure that the adjustment was made as submitted in HCM.
   a. HCM - Department: GL Total Salary Report
   b. ECRT - Effort Certification Payroll Report
   c. HCM – Department: Position Funding Distributed Report

3. Salary on Incorrect Source

If salary is distributed to an incorrect source, the departmental Effort Coordinators should submit a DBR form that redistributes salary to the correct source. If this form is a retro-active correction that affects a closed Effort Certification Period, the departmental Effort Coordinators should contact Research Services for further action.

4. Waiting on Potential Funding – Notice of Award (NOA)

When the department is waiting on receipt of an award in which salary will be sourced, the departmental Effort Coordinator should perform the following steps:

1. Contact the Research Services Pre-Award specialists to set up Pre-Award spending account. If the Award does not get funded, any pre-award spending should be transferred to a Non-Sponsored Project (i.e. MSRDP, State Funds).
2. When the Effort Reporting Period is open and effort has been performed on a grant that has not been funded, Effort (NOT Salary) can be "temporarily parked" onto the departmental Suspense account.
3. Contact Research Services regarding exception situations when the Effort Reporting Period is open.

5. DBR Forms that have Not been Processed

In order to make sure that DBR forms have been processed and posted to the General Ledger, the departmental Effort Coordinators should generate the HCM "Department: Position Funding Distributed" query (steps for this detailed in Vol. II Section I). This query will generate a spreadsheet that illustrates the positions, effective dates, action dates, etc. that have not yet been distributed to ledger.

The Effort Coordinators should contact their EAST Team representative if they see any problems with the DBR Forms have not yet posted to the General Ledger.

G. Salary Adjustments

1. Retro-Active Labor Cost Transfers

A retroactive labor cost transfer is the transfer of an already existing expense. Retroactive labor cost transfers on Sponsored Projects need to include justifications in order to meet sponsor and regulatory requirements. All retroactive labor cost transfer forms (i.e. DBR Forms, direct-retro forms, etc.) that adjust salary on Sponsored Projects will route through Research Services for review and appropriate action. The departmental Effort Coordinators should ask the following before submitting a retro-active DBR Form:

1. Does the Effective Date fall between an Effort Certification Period that has ended? If so, has the Effort Card been reviewed to ensure that the retroactive labor cost transfer is consistent with the effort reported? Have NIH salary cap issues been addressed, if applicable?
2. Is this retroactive transfer for a period of more than 90 days? Is there a justifiable reason?
3. Is the expense allowable and will it benefit the Sponsored Project?
4. Is there a sufficient justification described on the DBR form?
5. For NIH Sponsored Projects, will this transfer result in a change of greater than 25% in effort of key personnel or in a budget re-allocation of greater than 25%, as proposed in the original award? If so, please discuss with your Research Services representative prior to submission of the DBR Form and note this in the justification.

2. Timeline for Processing Retro-Active DBR Forms

Retro-Active Labor Cost Transfers can take some time to process through HCM and ultimately be reflected in ECRT (see Timeline below for details). DBR processing time may vary because UTMB's Payroll department cannot run retro-labor cost transfers during bi-weekly, monthly, and/or off-cycle check processes. The timeline below is an estimate if everything works smoothly throughout the process. It is recommended that the department initiate retroactive labor cost transfer DBR Forms well in advance of the effort reporting period to ensure that the Effort Cards reflect the appropriate salary distribution. A month ahead of the beginning of the ECRT pre-review period is a recommended time period.

Time line for submitting Retro-Active DBR forms				
Day One	Day Two	Day Three	Days Four-Seven*	Day Seven (7) –Fourteen (14)
Effort Coordinator submits a DBR Form	Research Services reviews	EAST team reviews and loads DBR data into HCM	Payroll/Finance reviews, enters data in HCM, generates journals then "pushes" new DBR data to GL	Effort Coordinator should start generating/checking HCM queries/ECRT reports ---identified in Section V

V. Best Practices "TIP SHEET"

BEST PRACTICES "TIP SHEET"

MONTHLY MANAGEMENT	PRE-REVIEW	EFFORT CONFIRMATION	PROCESSING AND POST-REVIEW	EFFORT RECONCILIATION
Use the following Tools each Month	10 Days	20 Days	10 Days	30 Days
1. Department: Department Budget Table History query (a) If you encounter invalid/incorrect/inconsistent salary information in this query, contact your EAST Team representative Or Go to the HCM Budget Table (see Vol. II Section I for details) (b) Due to security reasons, some Effort Coordinators may not have access to this part of HCM	1. In ECRT, confirm that all employees that are housed in your department have an Effort Card.	1. Let Primary Individuals know about any outstanding DBR Forms if the salary distribution does not line up correctly.	1. The Lead Effort Coordinator should continue to "Process" and complete any and all confirmed Effort Cards.	1. Continue to work on your manage effort tasks which may include any and/or all of the following: - Contact Research Services to re-open a card in order to enter any cost sharing accounts - Submit necessary DBR forms to clear any cost transfers - Work with other departments to reconcile cost transfers on grants owned by other departments
2. HCM T&E GL Base Salary Summary	2. Enter Mandatory Cost Sharing and Over-the-Cap Cost sharing when/if necessary on all these employees	2. Make sure faculty understands: - his/her Sponsored Project end dates - any new Bud Ref's and/or change in Projects - that the awarded effort on a project is based a budget year for that project and the Effort Confirmation is every six months (i.e. 100% effort for 3 months translates to 50% effort on the Effort Card)	2. Start working on your manage effort tasks which may include any and/or all of the following: - Contact Research Services to re-open a card in order to enter any cost sharing accounts - Submit necessary DBR forms to clear any cost transfers - Work with other departments to reconcile cost transfers on grants owned by other departments	2. Track DBR Forms in HCM by: - Generating the T&E GL Base Salary Summary query - Generating the Department: Position Funding Distributed query
3. ECRT Effort Certification Payroll Report	3. Enter any known voluntary cost sharing after completing "Prep" step 5.	3. Communicate to the Primary Individual the importance of reporting his/her effort on time. NOTE: Funds will be moved off the Sponsored Projects and onto discretionary accounts.	3. the Effort Coordinator should "Re-send" Effort Cards back to the Primary Individuals if they misunderstand the Sponsored Projects listed on their Effort Card, Salary Distribution on the Effort Card, etc.	3. Check your "Manage Effort Tasks" list to ensure that all outstanding items have been addressed (i.e. DBR Forms submitted, cost sharing info entered, etc.)
4. HCM: GL Total Salary Report	4. Make sure you review threshold levels with the Primary Individuals	4. the Lead Effort Coordinator should generate the Salary Resolution Query to review	4. All Effort Cards must be certified and processed by the end of this period.	4. The Lead Effort Coordinator should check the Effort Card to make sure that the cost transfers/cost

	and/or Key Personnel	any cost sharing and/or cost transfer before selecting the "Process" Button.	NOTE: Funds will be moved off the Sponsored Projects and onto discretionary accounts.	sharing items have cleared
5. RAS Effort Reporting Worksheet	5. Make sure you review tolerance levels	5. The Lead Effort Coordinator should start "Processing" any and all confirmed Effort Cards.	4. The Lead Effort Coordinator should start addressing action on the Manage Effort Task List. - Submit necessary DBR Forms to clear all cost transfers - Contact Research Services to reopen a processed card to add cost sharing information	5. Once the cost transfers and cost shares have clear from the Effort Card, the Lead Effort Coordinator should go to the Manage Effort Task List, check the check boxes click "resolve"
6. HCM: T&E GL Base Salary Summary	5. Review grant special requirements (i.e. Training Grants, K Awards, etc.)	6. The "CERTIFY" button for the Primary Individual will be turned off by the end of this period.	5. The Lead Effort Coordinator should check the Effort Card to make sure that the cost transfers/cost sharing items have cleared	6. Continue to track that the Manage Effort Task items have cleared.
7. Department: Position Funding Distributed query	6. Submit necessary DBR Forms.		6. Once the cost transfers and cost shares have clear from the Effort Card, the Lead Effort Coordinator should go to the Manage Effort Task List, check the check boxes click "resolve"	
8. Payroll: GL Salary and Hours Whole Person Report	7. Check ECRT to see DBR Forms have been processed.			
9. ECRT: Salary Resolution Report				
10. List of PI's Researchers				
11. Account/Award Summary				
12. Sponsored Project Activity Report				

VI. MATRIX for EFFORT REPORTING TOOLS

(see Volume II of this Manual for steps and print screens of the Tools listed in this Matrix)

HCM Tools	USE	THINGS TO KEEP IN MIND
Department: Department Budget Table History Query	**SOURCING** Use this table when you want to see how an employee is "sourced" in the HCM Department Budget Table and/or if you want to see who is sourced to a particular project. **STEPS:** IF you want to see the "employee": 1. Enter "ALL" during every prompt except the Employee Number. 2. Let the "Default Dates" remain (see note one in next column). **STEPS:** IF you want to see the "Project": 1. Enter "ALL" during all prompts except Combo Code (see glossary for definition). 2. Let the "Default Dates" remain (see note one in next column).	1. The query search is driven by the ACTION DATE (date that EAST enters the DBR into HCM Dept Bud. Table). **NOTE:** DO NOT enter the dates of the quarter you are reconciling…you won't see everything you need. 2. This query will not have data prior to 09/01/06 (HCM Implementation).
Department: GL Total Salary Report	**PAY DETAIL** Use this table when you want to see an employee's Pay Detail ("Earning Codes", Pay Period, etc.) in GL. **STEPS:** If you want to see the "employee": 1. Enter "ALL" during all prompts except Employee Number. 2. Use the Dates you are reconciling. 3. Sort by Pay End Date then ACCT CD. 4. Sub Total by Pay End Date with "SUM" under "Dollars Paid" column.	This query shows EARNING Code details and how pay (includes both IBS and non-IBS pay) is distributed across those earning codes per pay period. This is a great trouble shooting tool when salary does not total correctly or when employees are paid on earning codes (i.e. HAZ, OVT, EVE) that could cause cost transfers during effort certification.
Payroll: General Ledger Salary and Hours Detail Report Whole Person	**PAY TRANSACTION DETAIL w/ JOURNAL IDs** Use this table when you may need to "trouble shoot on an employee's pay distribution. This report shows an employee's Pay Detail ("Earning Codes", Pay Period, etc.) in GL including accruals attached to its journal entry. **STEPS:** If you want to see the "employee": 1. Enter "ALL" during all prompts except Employee Number. 2. Use the Dates you are reconciling. 3. Sort by Pay End Date then ACCT CD. 4. Sub Total by Pay End Date with "SUM" under "Dollars Paid" column.	During Retro-Payroll Pushes and Bi-Weekly/Monthly Payroll runs, this report may not match exactly with the Department: GL Total Salary Report due to a one or two day "Delay" during that process. **NOTE:** PRX-----Journal id=Retro transaction. PAY----Journal id=non-retro Payroll transaction * This query also includes benefit transactions
Department: Position Funding Distribution	**DBR Tracking** Use this query when you are tracking DBR forms that have not yet been distributed to GL. **STEPS**: 1. Type in position number or "all". 2. Type in "N" for distribution flag. 3. and all for other fields. 4. use the "default dates"	

Department: Funding by Combo Code	Self Explanatory	
Payroll: Source Expiration Report	Self Explanatory	
ECRT TOOLS	**General Steps for the ECRT Tools**	
PDF Effort Card	This PDF allows the user the ability to view and print a confirmed Effort Card. **STEPS:** 1. Manage Department in the ECRT system 2. Click on employee 3. Click on PDF file in the upper right hand corner of screen	
Effort Certification Payroll Report (ECPR)	This report allows the user to see payroll information for the current or past reporting cycles. The user can see the information based on account, or by pay period.	
Certifier Salary Report	This report displays payroll information for Supporting Individuals charging a Primary Individuals awards. The reports shows payroll spread out over the 6 months.	
Effort Audit Report	- This report allows the user to view and print off Effort Cards for closed period	
Salary Activity Report	This report allows the user to view the status of Effort Card (9 different statuses). This report is available multiple places	
Funding and Effort Information Report	This report allows the user to view the funding information for an Effort Card to determine how the payroll percentages were deciphered.	
Cost Share Report	This report displays individuals with Cost Sharing for a specific time period, or a specific employee type with cost sharing (i.e. salary cap). The name of the employee, the accounts impacted, the date range and the cost share amount are all displayed	
Cost Transfer Report	This report lists all individuals with cost transfers for a specific time period, or by employee type. The name of the employee, the accounts impacted, the cost transfer amount and the individual that created the cost transfer are all displayed.	
List of a PI's Researchers	This list displays those researchers that are being funded from a Primary Individual's grant	List's both Primary and Supporting Individuals
Account/Award Summary	This summary provides details of the grant, including the researchers on the grant, the amount of the award, and other pertinent information	Click on Account or Award Name to run
Sponsored Project Activity Report	This report shows a list of certifiers that have a percentage of activity charged to a sponsored project.	
Salary Resolution Query	This Query shows salary distribution,	

	effort and any cost transfers and cost share amounts.	
OTHER TOOLS		
RAS Effort Reporting Worksheet (Monthly)	This spreadsheet allows you to enter the salary paid allocated to all sources for each month the individual is paid on that source. The worksheet will calculate the percentage salary allocated to each of the different sources during the 6 months of the semi-annual performance	
RAS Effort Reporting Worksheet (Monthly)	This spreadsheet allows you to enter the salary paid allocated to all sources for the number of days the individual is on that source. The worksheet will calculate the percentage salary allocated to each of the different sources during the 182 days of the semi-annual effort performance period.	

VII. COMMITMENT MANAGEMENT

THIS SECTION WILL NOT BE COMPLETE UNTIL FINAL DECISIONS ARE MADE BY THE COMMITTEE REGARDING COMMITMENTS

EFFORT REPORTING PROCEDURE
AND
"BEST PRACTICES" MANUAL
FOR MANAGING EFFORT REPORTING

VOLUME II- APPENDIX

UNIVERSITY OF TEXAS MEDICAL BRANCH

March 11, 2008

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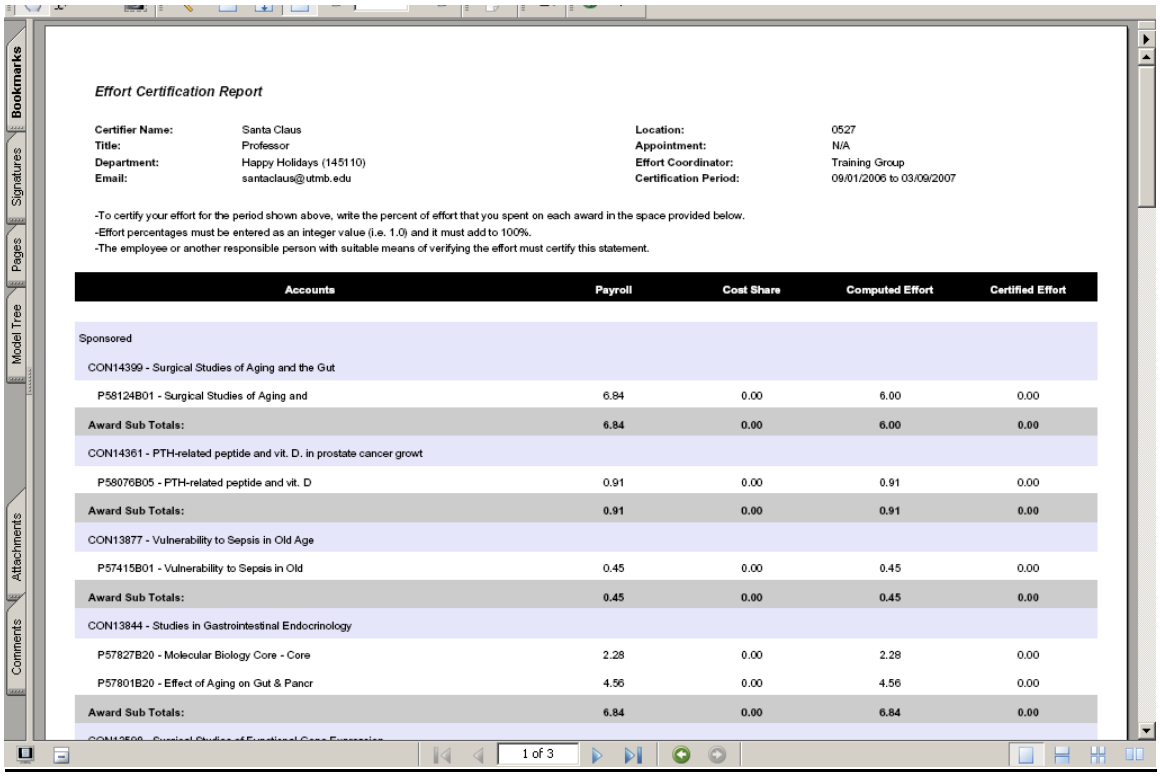
I. Quick Reference Guide for Effort Reports

a) What the reports tell you and when to use them.

REPORTS IN THE ECRT SYSTEM

PDF Effort Card - This report allows the user the ability to view and print a confirmed Effort Card.



Effort Certification Report

Certifier Name:	Santa Claus	**Location:**	0527
Title:	Professor	**Appointment:**	N/A
Department:	Happy Holidays (145110)	**Effort Coordinator:**	Training Group
Email:	santaclaus@utmb.edu	**Certification Period:**	09/01/2006 to 03/09/2007

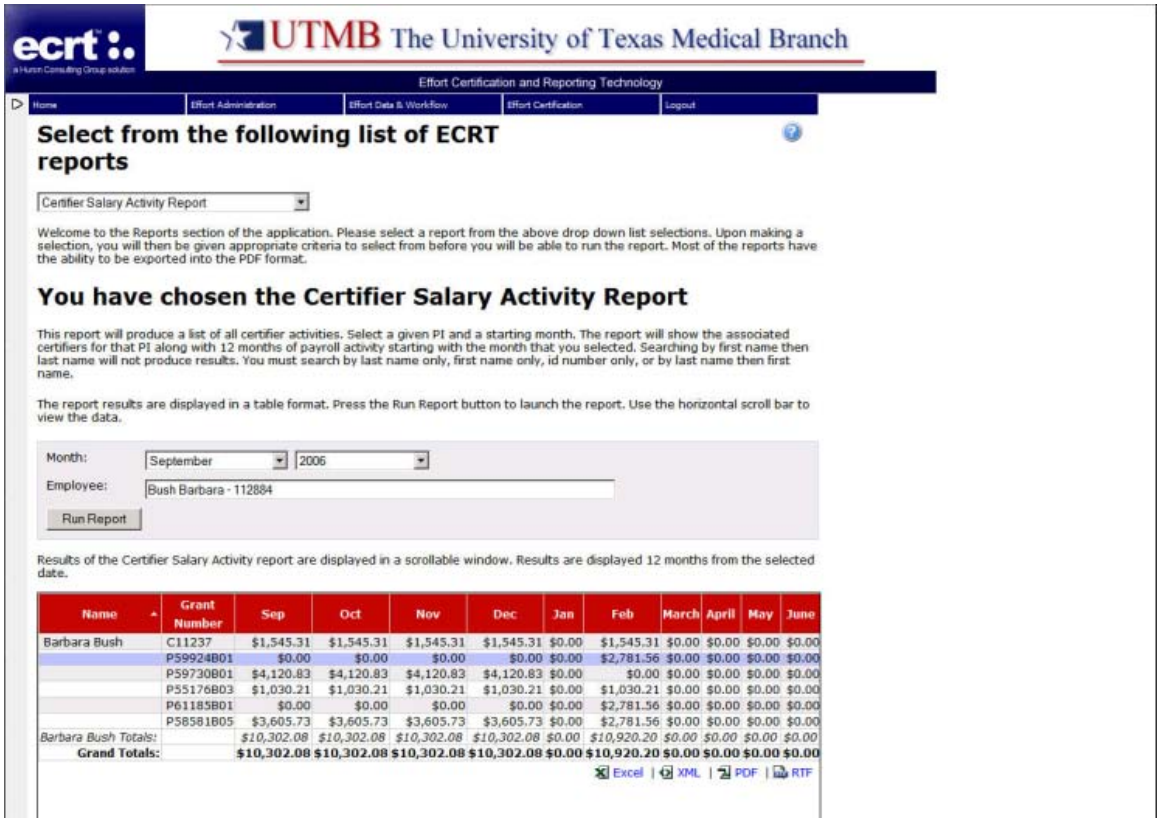
-To certify your effort for the period shown above, write the percent of effort that you spent on each award in the space provided below.
-Effort percentages must be entered as an integer value (i.e. 1.0) and it must add to 100%.
-The employee or another responsible person with suitable means of verifying the effort must certify this statement.

Accounts	Payroll	Cost Share	Computed Effort	Certified Effort
Sponsored				
CON14399 - Surgical Studies of Aging and the Gut				
P58124B01 - Surgical Studies of Aging and	6.84	0.00	6.00	0.00
Award Sub Totals:	**6.84**	**0.00**	**6.00**	**0.00**
CON14361 - PTH-related peptide and vit. D. in prostate cancer growt				
P58076B05 - PTH-related peptide and vit. D	0.91	0.00	0.91	0.00
Award Sub Totals:	**0.91**	**0.00**	**0.91**	**0.00**
CON13877 - Vulnerability to Sepsis in Old Age				
P57415B01 - Vulnerability to Sepsis in Old	0.45	0.00	0.45	0.00
Award Sub Totals:	**0.45**	**0.00**	**0.45**	**0.00**
CON13844 - Studies in Gastrointestinal Endocrinology				
P57827B20 - Molecular Biology Core - Core	2.28	0.00	2.28	0.00
P57801B20 - Effect of Aging on Gut & Pancr	4.56	0.00	4.56	0.00
Award Sub Totals:	**6.84**	**0.00**	**6.84**	**0.00**

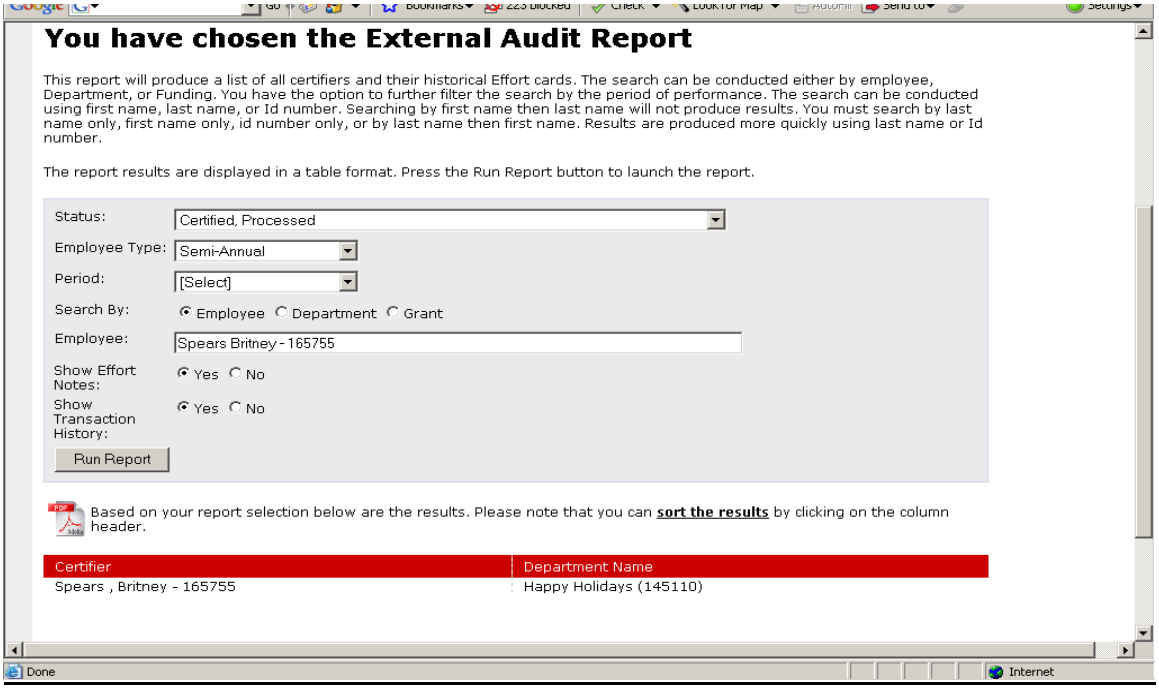
Certification Payroll Report (ECPR) - This reports allows the user to see payroll information for the current or past reporting cycles. The user can see the information based on account, or by pay period.

Certifier	Account	Pay Period	Payroll	Percentage
Valiulis , Mishell R - 153384	C11000 - FINANCE - REPORTING	09/23/2006 to 10/06/2006	$2,436.92	8.35 %
		10/07/2006 to 10/20/2006	$2,495.77	8.56 %
		10/21/2006 to 11/03/2006	$2,436.92	8.35 %
		11/04/2006 to 11/17/2006	$2,376.92	8.15 %
		11/18/2006 to 12/01/2006	$2,436.92	8.35 %
		12/02/2006 to 12/15/2006	$2,376.92	8.15 %
		12/16/2006 to 12/29/2006	$2,376.92	8.15 %
		12/30/2006 to 01/12/2007	$2,436.92	8.35 %
		01/13/2007 to 01/26/2007	$2,376.93	8.15 %
	Subtotal	**74.56 %**	**$21,751.14**	**74.56 %**
	C19514 - IS - PEOPLESOFT	01/27/2007 to 02/09/2007	$2,456.92	8.42 %
		02/10/2007 to 02/23/2007	$2,376.92	8.15 %
		02/24/2007 to 03/09/2007	$2,587.65	8.87 %
	Subtotal	**25.44 %**	**$7,421.49**	**25.44 %**
	Certifier Total for Period	**100.00 %**	**$29,172.63**	**100.00 %**
Total Of All Certifiers			**$29,172.63**	**100.00 %**

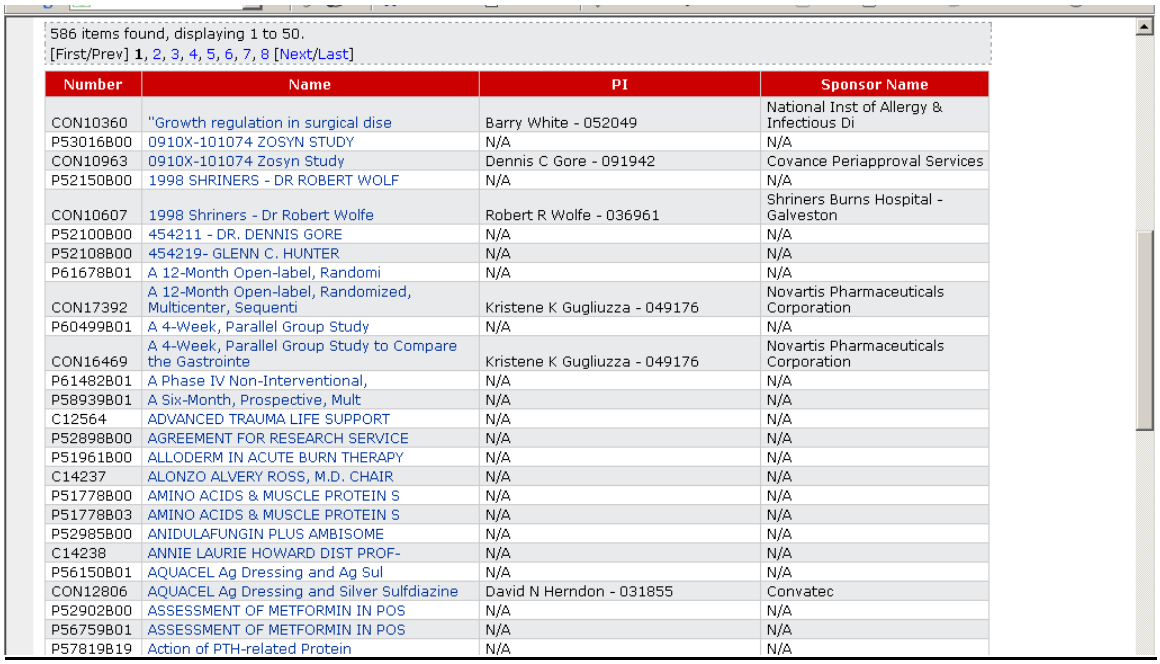
Certifier Salary Activity Report - This report displays payroll information for Supporting Individuals charging a Primary Individuals awards. The reports shows payroll spread out over the 6 months.



External Audit Report - This report allows the user to view and print off Effort Cards for closed period. Clicking on the PDF icon will allow the user to print hard copy effort reports.


You have chosen the External Audit Report
This report will produce a list of all certifiers and their historical Effort cards. The search can be conducted either by employee, Department, or Funding. You have the option to further filter the search by the period of performance. The search can be conducted using first name, last name, or Id number. Searching by first name then last name will not produce results. You must search by last name only, first name only, id number only, or by last name then first name. Results are produced more quickly using last name or Id number.
The report results are displayed in a table format. Press the Run Report button to launch the report.
Status:
Certified, Processed
Employee Type:
Semi-Annual
Period:
[Select]
Search By:
Employee
Department
Grant
Employee:
Spears Britney - 165755
Show Effort Notes:
Yes
No
Show Transaction History:
Yes
No
Run Report
Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.
Certifier
Department Name
Spears , Britney - 165755
Happy Holidays (145110)
Done
Internet

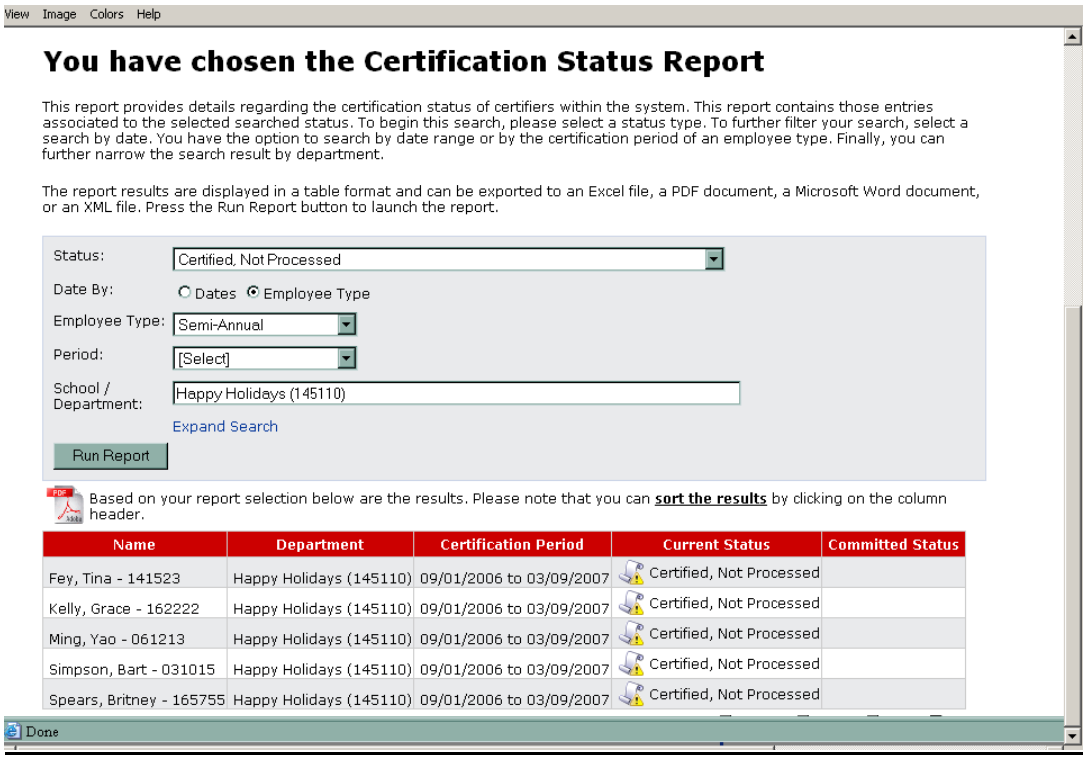
Departmental Funding Report - Lists all awards assigned to the department. Also lists the name of the award, PI and the sponsor if available.



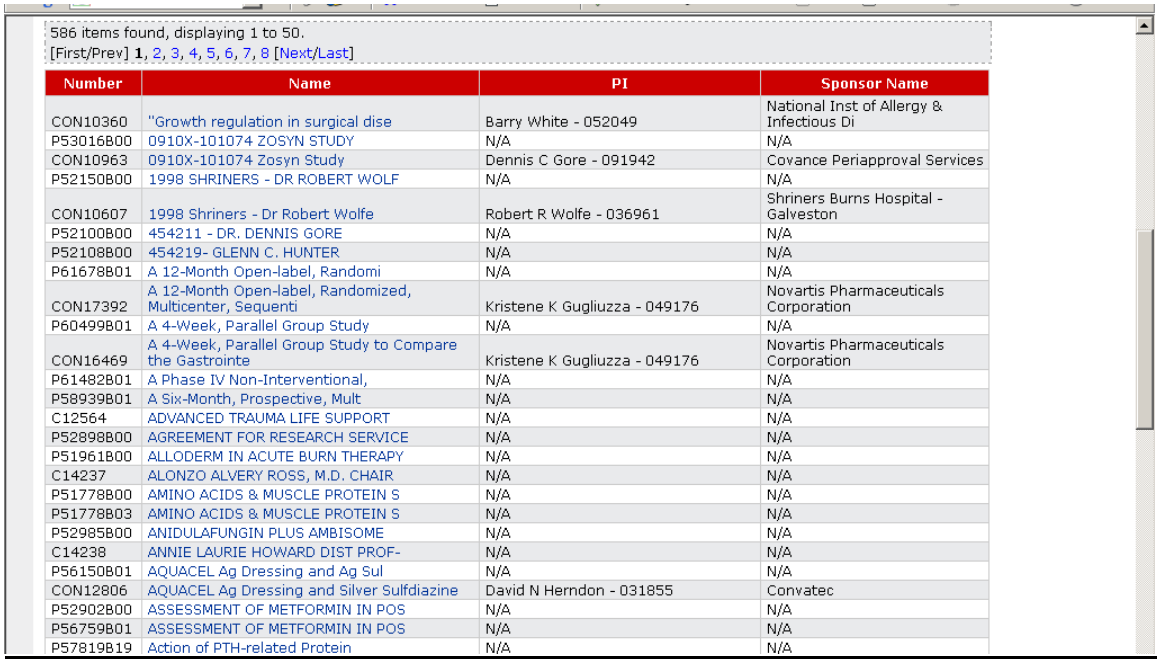
586 items found, displaying 1 to 50.
[First/Prev] **1**, 2, 3, 4, 5, 6, 7, 8 [Next/Last]

Number	Name	PI	Sponsor Name
CON10360	"Growth regulation in surgical dise	Barry White - 052049	National Inst of Allergy & Infectious Di
P53016B00	0910X-101074 ZOSYN STUDY	N/A	N/A
CON10963	0910X-101074 Zosyn Study	Dennis C Gore - 091942	Covance Periapproval Services
P52150B00	1998 SHRINERS - DR ROBERT WOLF	N/A	N/A
CON10607	1998 Shriners - Dr Robert Wolfe	Robert R Wolfe - 036961	Shriners Burns Hospital - Galveston
P52100B00	454211 - DR. DENNIS GORE	N/A	N/A
P52108B00	454219- GLENN C. HUNTER	N/A	N/A
P61678B01	A 12-Month Open-label, Randomi	N/A	N/A
CON17392	A 12-Month Open-label, Randomized, Multicenter, Sequenti	Kristene K Gugliuzza - 049176	Novartis Pharmaceuticals Corporation
P60499B01	A 4-Week, Parallel Group Study	N/A	N/A
CON16469	A 4-Week, Parallel Group Study to Compare the Gastrointe	Kristene K Gugliuzza - 049176	Novartis Pharmaceuticals Corporation
P61482B01	A Phase IV Non-Interventional,	N/A	N/A
P58939B01	A Six-Month, Prospective, Mult	N/A	N/A
C12564	ADVANCED TRAUMA LIFE SUPPORT	N/A	N/A
P52898B00	AGREEMENT FOR RESEARCH SERVICE	N/A	N/A
P51961B00	ALLODERM IN ACUTE BURN THERAPY	N/A	N/A
C14237	ALONZO ALVERY ROSS, M.D. CHAIR	N/A	N/A
P51778B00	AMINO ACIDS & MUSCLE PROTEIN S	N/A	N/A
P51778B03	AMINO ACIDS & MUSCLE PROTEIN S	N/A	N/A
P52985B00	ANIDULAFUNGIN PLUS AMBISOME	N/A	N/A
C14238	ANNIE LAURIE HOWARD DIST PROF-	N/A	N/A
P56150B01	AQUACEL Ag Dressing and Ag Sul	N/A	N/A
CON12806	AQUACEL Ag Dressing and Silver Sulfdiazine	David N Herndon - 031855	Convatec
P52902B00	ASSESSMENT OF METFORMIN IN POS	N/A	N/A
P56759B01	ASSESSMENT OF METFORMIN IN POS	N/A	N/A
P57819B19	Action of PTH-related Protein	N/A	N/A

Certification Status Report - This report allows the user to view the status of Effort Card (9 different statuses). This report is available multiple places.


View Image Colors Help
You have chosen the Certification Status Report
This report provides details regarding the certification status of certifiers within the system. This report contains those entries associated to the selected searched status. To begin this search, please select a status type. To further filter your search, select a search by date. You have the option to search by date range or by the certification period of an employee type. Finally, you can further narrow the search result by department.
The report results are displayed in a table format and can be exported to an Excel file, a PDF document, a Microsoft Word document, or an XML file. Press the Run Report button to launch the report.
Status: Certified, Not Processed
Date By: Dates Employee Type
Employee Type: Semi-Annual
Period: [Select]
School / Department: Happy Holidays (145110)
Expand Search
Run Report
Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.
Name | Department | Certification Period | Current Status | Committed Status
Fey, Tina - 141523 | Happy Holidays (145110) | 09/01/2006 to 03/09/2007 | Certified, Not Processed
Kelly, Grace - 162222 | Happy Holidays (145110) | 09/01/2006 to 03/09/2007 | Certified, Not Processed
Ming, Yao - 061213 | Happy Holidays (145110) | 09/01/2006 to 03/09/2007 | Certified, Not Processed
Simpson, Bart - 031015 | Happy Holidays (145110) | 09/01/2006 to 03/09/2007 | Certified, Not Processed
Spears, Britney - 165755 | Happy Holidays (145110) | 09/01/2006 to 03/09/2007 | Certified, Not Processed
Done

Monthly Funding and Effort Information Report - This report allows the user to view the funding information for an Effort Card to determine how the payroll percentages were deciphered by month.



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Number	Name	PI	Sponsor Name
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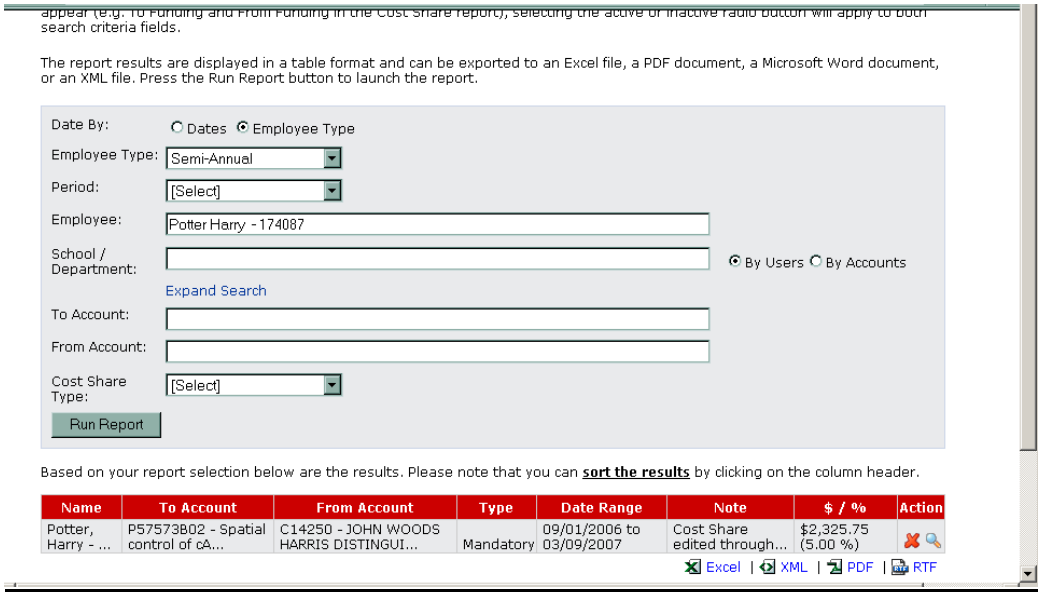
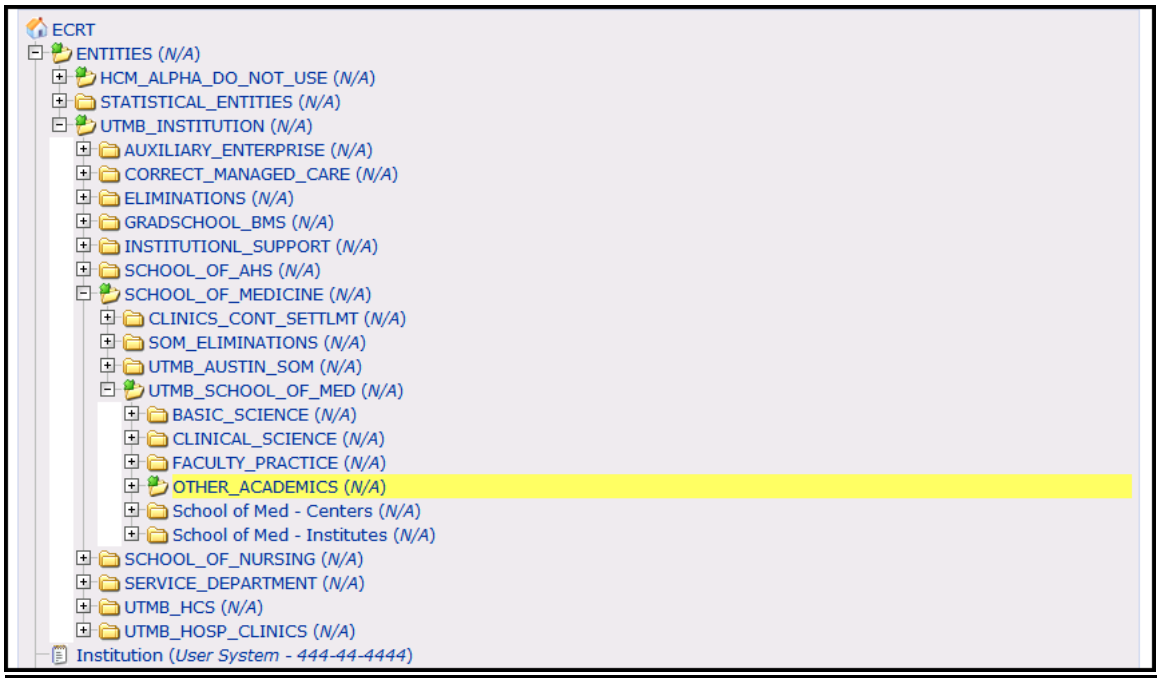
P52150B00	1998 SHRINERS - DR ROBERT WOLF	N/A	N/A
CON10607	1998 Shriners - Dr Robert Wolfe	Robert R Wolfe - 036961	Shriners Burns Hospital - Galveston
P52100B00	454211 - DR. DENNIS GORE	N/A	N/A
P52108B00	454219- GLENN C. HUNTER	N/A	N/A
P61678B01	A 12-Month Open-label, Randomi	N/A	N/A
CON17392	A 12-Month Open-label, Randomized, Multicenter, Sequenti	Kristene K Gugliuzza - 049176	Novartis Pharmaceuticals Corporation
P60499B01	A 4-Week, Parallel Group Study	N/A	N/A
CON16469	A 4-Week, Parallel Group Study to Compare the Gastrointe	Kristene K Gugliuzza - 049176	Novartis Pharmaceuticals Corporation
P61482B01	A Phase IV Non-Interventional,	N/A	N/A
P58939B01	A Six-Month, Prospective, Mult	N/A	N/A
C12564	ADVANCED TRAUMA LIFE SUPPORT	N/A	N/A
P52898B00	AGREEMENT FOR RESEARCH SERVICE	N/A	N/A
P51961B00	ALLODERM IN ACUTE BURN THERAPY	N/A	N/A
C14237	ALONZO ALVERY ROSS, M.D. CHAIR	N/A	N/A
P51778B00	AMINO ACIDS & MUSCLE PROTEIN S	N/A	N/A
P51778B03	AMINO ACIDS & MUSCLE PROTEIN S	N/A	N/A
P52985B00	ANIDULAFUNGIN PLUS AMBISOME	N/A	N/A
C14238	ANNIE LAURIE HOWARD DIST PROF-	N/A	N/A
P56150B01	AQUACEL Ag Dressing and Ag Sul	N/A	N/A
CON12806	AQUACEL Ag Dressing and Silver Sulfdiazine	David N Herndon - 031855	Convatec
P52902B00	ASSESSMENT OF METFORMIN IN POS	N/A	N/A
P56759B01	ASSESSMENT OF METFORMIN IN POS	N/A	N/A
P57819B19	Action of PTH-related Protein	N/A	N/A

Cost Share Report - This report displays individuals with Cost Sharing for a specific time period, or a specific employee type with cost sharing (i.e. salary cap). The name of the employee, the accounts impacted, the date range and the cost share amount are all displayed.


search criteria fields.
The report results are displayed in a table format and can be exported to an Excel file, a PDF document, a Microsoft Word document, or an XML file. Press the Run Report button to launch the report.
Date By: Dates Employee Type
Employee Type: Semi-Annual
Period: [Select]
Employee: Potter Harry - 174087
School / Department:
By Users By Accounts
Expand Search
To Account:
From Account:
Cost Share Type: [Select]
Run Report
Based on your report selection below are the results. Please note that you can sort the results by clicking on the column header.
Name
To Account
From Account
Type
Date Range
Note
$ / %
Action
Potter, Harry - ...
P57573B02 - Spatial control of cA...
C14250 - JOHN WOODS HARRIS DISTINGUI...
Mandatory
09/01/2006 to 03/09/2007
Cost Share edited through...
$2,325.75 (5.00 %)
Excel | XML | PDF | RTF

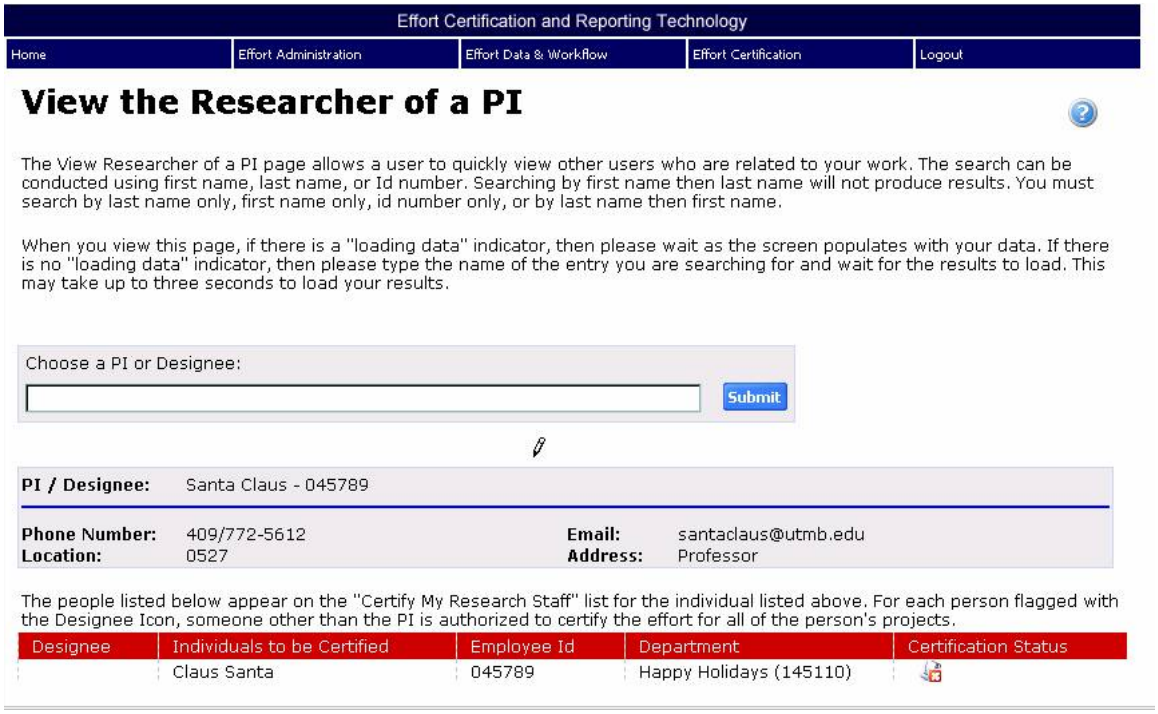
List of Department Report - This is a report detailing the PeopleSoft departmental hierarchy tree.



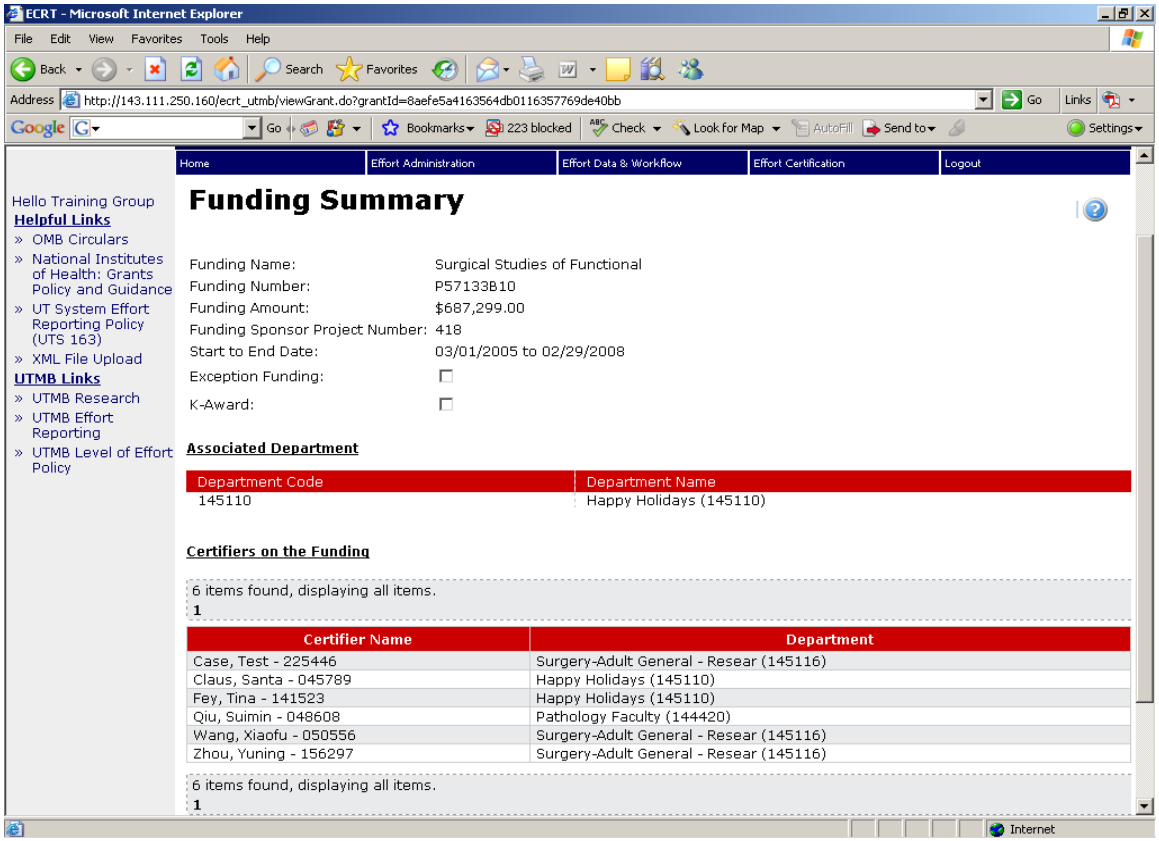
Cost Transfer Report - This report lists all individuals with cost transfers for a specific time period, or by employee type. The name of the employee, the accounts impacted, the cost transfer amount and the individual that created the cost transfer are all displayed. You can also print this report to PDF

Certifier	Department	Funding	Amount	Processed	Processed By
Yao Ming - 061213	Happy Holidays (145110)	P57415B01 - Vulnerability to Sepsis in Old	($3,780.03)		Training Group - trainingec
Yao Ming - 061213	Happy Holidays (145110)	P60149B02 - Sub-Account for Dr. Saito	$0.03		Training Group - trainingec
Yao Ming - 061213	Happy Holidays (145110)	P58124B01 - Surgical Studies of Aging and	$3,780.00		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	C11237 - SURGERY STATE-GENERAL SURGERY	($1,072.31)		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P55176B03 - Regulatiom of Stomach Ghrelin	($804.24)		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P57802B20 - Neuroendocrine Regulation of P	($804.23)		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P58581B05 - Hypoxia-induced DNA Damage and	$0.01		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P57826B20 - Peptide Receptor Core - Core D	$0.01		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P61185B01 - Genotoxic Effect of Smoke Inha	$268.09		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P59924B01 - Mechanisms of Neurotoxicity of	$1,072.28		Training Group - trainingec
Bart Simpson - 031015	Happy Holidays (145110)	P59730B01 - Genotoxic Effect of Smoke Inha	$1,340.41		Training Group - trainingec

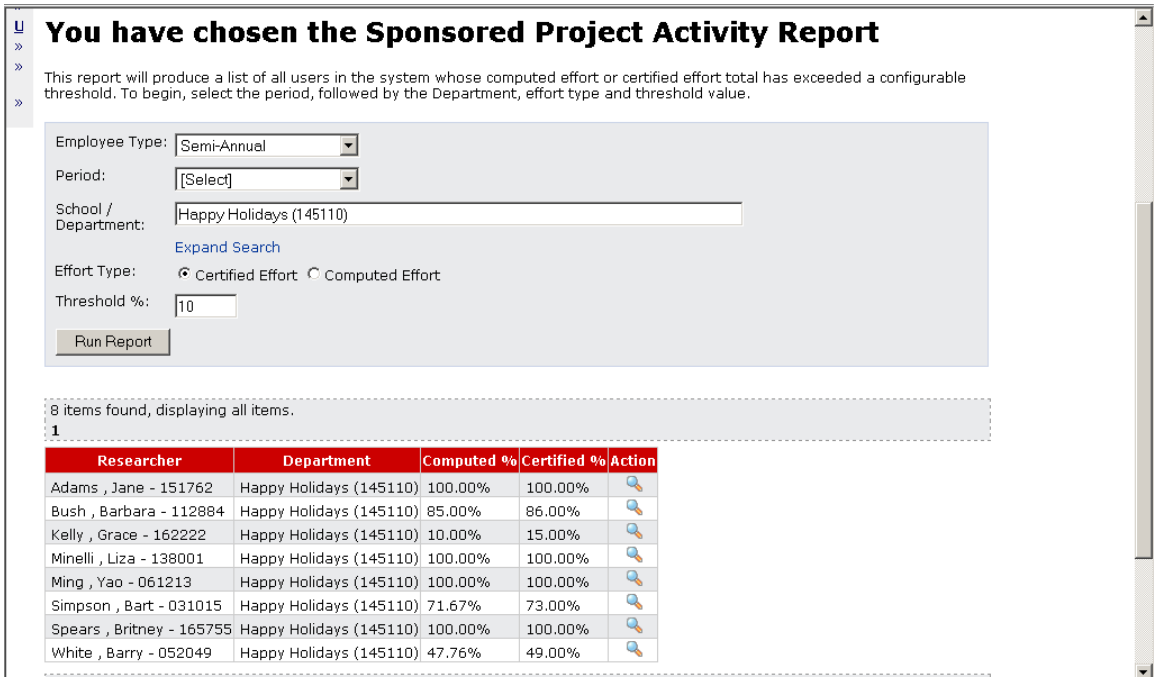
List of a PI's Researchers - This link displays those researchers that are being funded from a Primary Individual's grant


Effort Certification and Reporting Technology
Home
Effort Administration
Effort Data & Workflow
Effort Certification
Logout
View the Researcher of a PI
The View Researcher of a PI page allows a user to quickly view other users who are related to your work. The search can be conducted using first name, last name, or Id number. Searching by first name then last name will not produce results. You must search by last name only, first name only, id number only, or by last name then first name.
When you view this page, if there is a "loading data" indicator, then please wait as the screen populates with your data. If there is no "loading data" indicator, then please type the name of the entry you are searching for and wait for the results to load. This may take up to three seconds to load your results.
Choose a PI or Designee:
Submit
PI / Designee: Santa Claus - 045789
Phone Number: 409/772-5612
Email: santaclaus@utmb.edu
Location: 0527
Address: Professor
The people listed below appear on the "Certify My Research Staff" list for the individual listed above. For each person flagged with the Designee Icon, someone other than the PI is authorized to certify the effort for all of the person's projects.
Designee
Individuals to be Certified
Employee Id
Department
Certification Status
Claus Santa
045789
Happy Holidays (145110)

Account/Award Summary - This link provides details of the grant, including the researchers on the grant, the amount of the award, and other pertinent information



Sponsored Project Activity Report - This report shows a list of certifiers that have a percentage of activity charged to a Sponsored Project.



You have chosen the Sponsored Project Activity Report

This report will produce a list of all users in the system whose computed effort or certified effort total has exceeded a configurable threshold. To begin, select the period, followed by the Department, effort type and threshold value.

Employee Type: Semi-Annual

Period: [Select]

School / Department: Happy Holidays (145110)

Expand Search

Effort Type: Certified Effort Computed Effort

Threshold %: 10

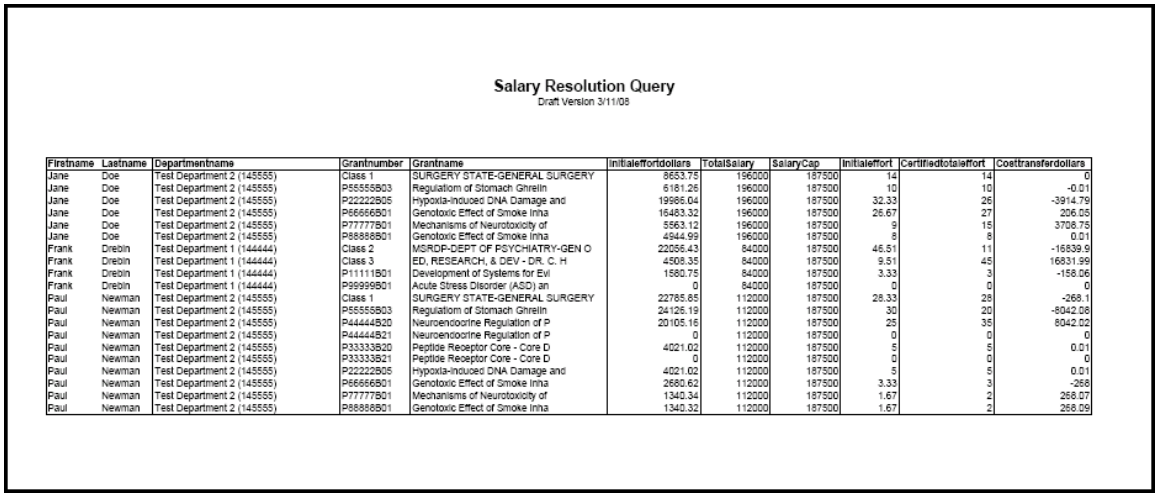
Run Report

8 items found, displaying all items.

1

Researcher	Department	Computed %	Certified %	Action
Adams , Jane - 151762	Happy Holidays (145110)	100.00%	100.00%	
Bush , Barbara - 112884	Happy Holidays (145110)	85.00%	86.00%	
Kelly , Grace - 162222	Happy Holidays (145110)	10.00%	15.00%	
Minelli , Liza - 138001	Happy Holidays (145110)	100.00%	100.00%	
Ming , Yao - 061213	Happy Holidays (145110)	100.00%	100.00%	
Simpson , Bart - 031015	Happy Holidays (145110)	71.67%	73.00%	
Spears , Britney - 165755	Happy Holidays (145110)	100.00%	100.00%	
White , Barry - 052049	Happy Holidays (145110)	47.76%	49.00%	

Salary Resolution Query - This query replaces the HCM query named T&E GL Base Salary Summary Reconciliation query. It can be used to view cost transfers and cost sharing after the effort has been confirmed.



Salary Resolution Query

Draft Version 3/11/08

Firstname	Lastname	Departmentname	Grantnumber	Grantname	Initialeffortdollars	TotalSalary	SalaryCap	Initialeffort	Certifiedtotaleffort	Costtransferdollars
Jane	Doe	Test Department 2 (145555)	Class 1	SURGERY STATE-GENERAL SURGERY	8653.75	196000	187500	14	14	0
Jane	Doe	Test Department 2 (145555)	P55555B03	Regulation of Stomach Ghrelin	6181.26	196000	187500	10	10	-0.01
Jane	Doe	Test Department 2 (145555)	P22222B05	Hypoxia-Induced DNA Damage and	19986.04	196000	187500	32.33	26	-3914.79
Jane	Doe	Test Department 2 (145555)	P66666B01	Genotoxic Effect of Smoke Inha	16483.32	196000	187500	26.67	27	206.05
Jane	Doe	Test Department 2 (145555)	P77777B01	Mechanisms of Neurotoxicity of	5563.12	196000	187500	9	15	3708.75
Jane	Doe	Test Department 2 (145555)	P88888B01	Genotoxic Effect of Smoke Inha	4944.99	196000	187500	8	8	0.01
Frank	Drebin	Test Department 1 (144444)	Class 2	MSRDP-DEPT OF PSYCHIATRY-GEN O	22056.43	84000	187500	46.51	11	-16839.9
Frank	Drebin	Test Department 1 (144444)	Class 3	ED, RESEARCH, & DEV - DR. C. H	4508.35	84000	187500	9.51	45	16831.99
Frank	Drebin	Test Department 1 (144444)	P11111B01	Development of Systems for Evi	1580.75	84000	187500	3.33	3	-158.06
Frank	Drebin	Test Department 1 (144444)	P99999B01	Acute Stress Disorder (ASD) an	0	84000	187500	0	0	0
Paul	Newman	Test Department 2 (145555)	Class 1	SURGERY STATE-GENERAL SURGERY	22785.85	112000	187500	28.33	26	-268.1
Paul	Newman	Test Department 2 (145555)	P55555B03	Regulation of Stomach Ghrelin	24126.19	112000	187500	30	20	-8042.08
Paul	Newman	Test Department 2 (145555)	P44444B20	Neuroendocrine Regulation of P	20105.16	112000	187500	25	35	8042.02
Paul	Newman	Test Department 2 (145555)	P44444B21	Neuroendocrine Regulation of P	0	112000	187500	0	0	0
Paul	Newman	Test Department 2 (145555)	P33333B20	Peptide Receptor Core - Core D	4021.02	112000	187500	5	5	0.01
Paul	Newman	Test Department 2 (145555)	P33333B21	Peptide Receptor Core - Core D	0	112000	187500	0	0	0
Paul	Newman	Test Department 2 (145555)	P22222B05	Hypoxia-Induced DNA Damage and	4021.02	112000	187500	5	5	0.01
Paul	Newman	Test Department 2 (145555)	P66666B01	Genotoxic Effect of Smoke Inha	2680.62	112000	187500	3.33	3	-268
Paul	Newman	Test Department 2 (145555)	P77777B01	Mechanisms of Neurotoxicity of	1340.34	112000	187500	1.67	2	268.07
Paul	Newman	Test Department 2 (145555)	P88888B01	Genotoxic Effect of Smoke Inha	1340.32	112000	187500	1.67	2	268.09

Department Budget Table History – Abbreviated Version – This report includes the employee's current (depending on when the General ledger has been updated from HCM) salary distribution that has been posted to the GL from the HCM Budget Table (i.e. funding end dates, salary percentage by combo codes, position numbers, etc.). This query excludes supplemental pay and longevity, compensatory time, shift differential, PBL appointments.

Department : Department Budget Table History (Abbreviated Version)

EMPLID	NAME	POSITION_N	FTE	VALIDCOMBO_DESCR	ACCT_CD	DIST_PCT	FUNDING_BEG	FUNDING_END	DEPTID_CF	SOURCEDEPT_DESCR	FUND_C	ACTION_DT
ID#	Name	11111	1	MSRDP	C11819	10	9/1/2006		140000	Internal Medicine	220	9/10/2006
ID#	Name	11111	1	Purified C1	P57847B01	90	9/1/2006	12/1/2006	140000	Internal Medicine	445	9/10/2006
ID#	Name	11111	1	PROJ III - N	P53945B05	50	9/30/2006	9/29/2007	146000	Biochemistry & Molecular E	415	11/21/2006
ID#	Name	11111	1	Purified C1	P57847B01	50	9/30/2006	12/1/2006	140000	Internal Medicine	445	11/21/2006
ID#	Name	11111	1	PROJ III - N	P53945B05	50	12/2/2006	9/29/2007	146000	Biochemistry & Molecular E	415	4/23/2007
ID#	Name	11111	1	Purified C1	P57847B01	50	12/2/2006	12/1/2007	140000	Internal Medicine	445	4/23/2007

GL Total Salary Report - This report details total salary and includes all pay sources by earning codes, combo codes and pay periods for a given employee during a given period of time (inputted by user).

Department : GL Total Salary Report

BUSINESS_UNIT	DEPTID	EMPLID	NAME	POSITION_NBR	ACCT_CD	DESCR	FUND	ERNCD	PAY_END_D	PPE_MONTH	DOLLARS_PAID
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	CT	10/6/2006	10/10/2006	6.54
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	LON	10/6/2006	10/10/2006	7
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	REG	10/6/2006	10/10/2006	61.24
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	SLT	10/6/2006	10/10/2006	8.23
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	VAC	10/6/2006	10/10/2006	1.45
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	CT	10/6/2006	10/10/2006	91.48
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	LON	10/6/2006	10/10/2006	98
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	10/6/2006	10/10/2006	857.29
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	SLT	10/6/2006	10/10/2006	115.21
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	10/6/2006	10/10/2006	20.32
SOMED	140000	ID#	Name	11111	P53945B05	PROJ III - N	415	CT	10/6/2006	10/10/2006	32.68
SOMED	140000	ID#	Name	11111	P53945B05	PROJ III - N	415	LON	10/6/2006	10/10/2006	35
SOMED	140000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	10/6/2006	10/10/2006	306.18
SOMED	140000	ID#	Name	11111	P53945B05	PROJ III - N	415	SLT	10/6/2006	10/10/2006	41.15
SOMED	140000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	10/6/2006	10/10/2006	7.27
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	REG	10/20/2006	10/10/2006	0
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	VAC	10/20/2006	10/10/2006	0
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	10/20/2006	10/10/2006	680.12
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	10/20/2006	10/10/2006	94.39
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	10/20/2006	10/10/2006	680.13
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	10/20/2006	10/10/2006	94.4
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	LON	11/3/2006	11/11/2006	0
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	REG	11/3/2006	11/11/2006	0
SOMED	140000	ID#	Name	11111	C11000	MSRDP	220	VAC	11/3/2006	11/11/2006	0
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	LON	11/3/2006	11/11/2006	70
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	11/3/2006	11/11/2006	755.15
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	11/3/2006	11/11/2006	19.36
SOMED	146200	ID#	Name	11111	P53945B05	PROJ III - N	415	LON	11/3/2006	11/11/2006	70
SOMED	146200	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	11/3/2006	11/11/2006	755.16
SOMED	146200	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	11/3/2006	11/11/2006	19.37
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	CT	11/17/2006	11/11/2006	2.42
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	11/17/2006	11/11/2006	764.84
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	11/17/2006	11/11/2006	7.26
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	CT	11/17/2006	11/11/2006	2.42
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	11/17/2006	11/11/2006	764.84
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	11/17/2006	11/11/2006	7.26
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	HOL	12/1/2006	12/12/2006	154.9
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	LON	12/1/2006	12/12/2006	70
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	12/1/2006	12/12/2006	522.79
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	SLT	12/1/2006	12/12/2006	77.45
SOMED	140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	12/1/2006	12/12/2006	19.36
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	HOL	12/1/2006	12/12/2006	154.91
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	LON	12/1/2006	12/12/2006	70
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	12/1/2006	12/12/2006	522.81
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	SLT	12/1/2006	12/12/2006	77.45
SOMED	146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	12/1/2006	12/12/2006	19.37

GL Base Salary Report – This report total institutional base salary for a specified period of time. It excludes all non-institutional base salary and supplemental pay earnings codes

T & E : GL Base Salary Report

DEPTID	EMPLID	NAME	POSITION	ACCT_CD	DESCR	FUND	ERNCD	PAY_END_DT	PPE_MONTH	DOLLARS_PAID
140000	ID#	Name	11111	C11000	MSRDP	220	CT	10/6/2006	10/10/2008	6.54
140000	ID#	Name	11111	C11000	MSRDP	220	LON	10/6/2006	10/10/2008	7
140000	ID#	Name	11111	C11000	MSRDP	220	REG	10/6/2006	10/10/2008	61.24
140000	ID#	Name	11111	C11000	MSRDP	220	SLT	10/6/2006	10/10/2008	8.23
140000	ID#	Name	11111	C11000	MSRDP	220	VAC	10/6/2006	10/10/2008	1.45
140000	ID#	Name	11111	P57847B01	Purified C1	445	CT	10/6/2006	10/10/2008	91.48
140000	ID#	Name	11111	P57847B01	Purified C1	445	LON	10/6/2006	10/10/2008	98
140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	10/6/2006	10/10/2008	857.29
140000	ID#	Name	11111	P57847B01	Purified C1	445	SLT	10/6/2006	10/10/2008	115.21
140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	10/6/2006	10/10/2008	20.32
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	CT	10/6/2006	10/10/2008	32.68
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	LON	10/6/2006	10/10/2008	35
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	10/6/2006	10/10/2008	306.18
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	SLT	10/6/2006	10/10/2008	41.15
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	10/6/2006	10/10/2008	7.27
140000	ID#	Name	11111	C11000	MSRDP	220	REG	10/20/2006	10/10/2008	0
140000	ID#	Name	11111	C11000	MSRDP	220	VAC	10/20/2006	10/10/2008	0
140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	10/20/2006	10/10/2008	680.12
140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	10/20/2006	10/10/2008	94.39
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	10/20/2006	10/10/2008	680.13
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	10/20/2006	10/10/2008	94.4
140000	ID#	Name	11111	C11000	MSRDP	220	LON	11/3/2006	11/11/2008	0
140000	ID#	Name	11111	C11000	MSRDP	220	REG	11/3/2006	11/11/2008	0
140000	ID#	Name	11111	C11000	MSRDP	220	VAC	11/3/2006	11/11/2008	0
140000	ID#	Name	11111	P57847B01	Purified C1	445	LON	11/3/2006	11/11/2008	70
140000	ID#	Name	11111	P57847B01	Purified C1	445	REG	11/3/2006	11/11/2008	755.15
140000	ID#	Name	11111	P57847B01	Purified C1	445	VAC	11/3/2006	11/11/2008	19.36
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	LON	11/3/2006	11/11/2008	70
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	REG	11/3/2006	11/11/2008	755.16
146000	ID#	Name	11111	P53945B05	PROJ III - N	415	VAC	11/3/2006	11/11/2008	19.37

GL Base Salary Report – Summary This report is the same as GL Base Salary Report but all source chart field string values are added together.

T& E : GL Base Salary Report - Simmary

EMPLID	NAME	ACCT_CD	DESCR	FUND_CODE	DOLLARS_PAID	TOTAL_DOLLARS_PAID	PCT
ID#	Name	C10000	GENERAL PRACTICE	120	227.52	19447.81	1.16990036
ID#	Name	C11000	MSRDP	220	84.46	19447.81	0.43429054
ID#	Name	P53945B05	PROJ III - N	415	9188.01	19447.81	47.2444455
ID#	Name	P57847B01	Purified C1	445	9947.82	19447.81	51.1513636

GL Salary and Hours Detail Report by Employee Whole Person - This report includes all pay sources by earnings codes, combo codes and pay periods for a given employee for a given period of time. *Note: This report is still in the testing stage.*

T&E Position Funding Distribution – This report shows the departmental budget request form transactions that have been distribution to general ledger.

T & E : Position Funding Distributed

POSITION	EFFDT	ACCT_CD	BUDGET_SEQ	DIST_PCT	HP_USED_DISTRIBUTN	FISCAL_YE	BUSINESS_UN	HEADCOUNT_STATUS	EMPLID	NAME	ACTION_DT	LASTUPDDTTM
11111	9/1/2006	C11000	1	10	Y	2007	SOMED	FILLED	ID#	Name	9/10/2006	9/10/2006 3:18
11111	9/1/2006	C11000	1	10	Y	2007	SOMED	FILLED	ID#	Name	9/10/2006	9/10/2006 3:18
11111	9/1/2006	P57847B01	1	90	Y	2007	SOMED	FILLED	ID#	Name	9/10/2006	9/10/2006 3:18
11111	9/1/2006	P57847B01	1	90	Y	2007	SOMED	FILLED	ID#	Name	9/10/2006	9/10/2006 3:18

RAS Effort Reporting Excel Worksheet – Biweekly
Note: This worksheet is still in the testing stage.

RAS Effort Reporting Excel Worksheet – Monthly
Note: This worksheet is still in the testing stage.

On Demand Training

The On-Demand Training for ECRT can be found at (*the link will be included after training has started)*

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II. Glossary of Terms Commonly Found in ECRT

Actual Effort: The time that an employee actually devotes to a particular Sponsored Project even if no salary is paid by the project and including time pledged to a sponsor as mandatory or voluntary committed cost sharing or other UTMB activity, expressed as a percentage of total effort during the confirmation period.

Active Awards: Award account is open and payroll may be charged.

Awarded Commitment: Commitment relayed from Sponsor on NOGA

Certifier: Primary Individual that has responsibility for certifying their effort and the effort of others

Certified Effort: Effort that has been confirmed and processed.

Closed Status: The final close of a project in PeopleSoft. A Sponsored Project may NOT be re-opened from the Closed Status for any transaction to be processed. This is generally done when all milestones have been met and the PeopleSoft modules are balanced.

Committed Effort: The amount of effort proposed in a grant or other project application and accepted by a sponsor, regardless of whether salary support is requested for the effort.

Computed Effort: Calculation of Payroll + Cost Sharing = Computed Effort.

Confirmation Period: The designated period of time (20 days) where all effort must be entered and Primary Individuals must confirms. Periodical emails will be sent through the time frame.

Cost Sharing: The mandatory or voluntary commitment of institutional resources contained in the proposal or award. The concept of cost matching is synonymous with cost sharing. This policy only pertains to cost sharing as it relates to effort commitments made by individuals listed in the proposal or award. There are different types of cost sharing:

Cost Transfers: An expense that is transferred from one PeopleSoft project, class or chart field value to another when an error has occurred. Transfers between PeopleSoft accounts are considered coding corrections, not cost transfers under this policy. Cost transfers for purposes of this policy include all costs, salaries, benefits, M&O (maintenance and operation) etc. These transfers

typically occur via payroll transfer or journal entry and may be initiated within the records of UTMB by Office of Accounting, Payroll, Research Services, UTMB Hospitals or other authorized units.

Department Effort Coordinator: The person responsible for overseeing effort reporting for their department. This person will be charged with monitoring for completion and will process the Effort Cards for the department.

Effort (also called Level of Effort): Time spent on any activity and expressed as a percentage of total time for which an employee is compensated by UTMB. Total effort for an employee must equal (and can not exceed) 100%. The appointment serves as the basis for an individual's total effort. For example, for a 50% appointment, 100% effort is the 50% appointment. Likewise, for a 75% appointment, 100% effort is the 75% appointment. Effort is not based upon a 40-hour work week. For example, if an employee works 50 hours in a week and spends 40 of those hours on a federal Sponsored Project, the percentage of his or her salary allocable to that project is 80% (40 divided by 50). Effort should be reported in whole percentages (i.e. 40%, not 40.21%) and must reflect all the activities for which the individual is compensated for by UTMB.

If an employee moves from a full-time status to a part-time status, a decision will have to be made about whether the effort or the salary dollars on the individual will remain the same for future work on the Sponsored Project.

Example: A fulltime employee earning $100,000 per year and working 40% on a Sponsored Project changes to half-time status. Use the following algebra calculation to figure out the new effort for that employee on the Sponsored Project.

Original Status = New Status

$$\frac{40\%}{\$100{,}000} == \frac{x\%}{\$50{,}000}$$

Using algebra and multiplying,

$50,000 x 40% / $100,000 = x
20% = x

This is the new effort when the employee moves to part time.
If you want the effort to remain the same although the employee is moving to part time, multiply the new part time salary amount by the proposed effort. The salary $$ will be reduced but the effort will remain the same.

Effort Card: Screen portraying an individual's funding for the period of performance that will be certified

Status of the Effort Cards
In Process for Certification
Not Certified, Not Processed
Not Certified, Not Processed, Reopened
Not Certified, Not Processed, Reopened by Payroll Adjustment
Transfer in Progress or Pending
Certified, Not Processed
Certified, Processed
Certified, Processed, Payroll Pending
Auto Approval

Effort Confirmation (Also referred to as **Effort Certification):** A means of confirming that the effort supported or paid by the sponsor has been performed and effect expended in support of a project (but not paid by the sponsor) has been performed. It is important to note that payroll distributions and effort confirmations are not the same thing. Payroll distributions describe the allocation of an individual's salary; whereas, effort confirmation describe the allocation of an individual's effort. The date of a Primary Individual's effort confirmation is the initializing transaction date as referenced in the Cost Transfer Policy vis-a-vis timeliness

Effort Confirmation Period: The designated period of time (20 days) for individuals to enter and for Primary Individuals to confirm, estimates of actual effort in the official UTMB effort system.

Effort History: Detailed record of the activity that has occurred on that particular effort card.

Effort Note: Ideal location to pass along information between certifiers and coordinators. Notes are auditable.

Effort Period of Performance: Dates for which ECRT will capture information to be confirmed

Effort Reconciliation Period: The designated period of time, after the effort confirmation period, in which salary paid should be reconciled to the effort confirmed and any adjustments submitted.

Effort Report: A form used by UTMB to document the proportion of total effort devoted by an employee to each activity with which he or she is involved,

including Sponsored Projects, administration and teaching. This document becomes UTMB's official verification that the IBS charged to a Sponsored Project is consistent with the actual effort expended on the project. The sum of all reported actual effort percentages on the effort report represents the employee's total effort. By definition, total effort must always equal 100%.

An effort report must be completed by someone with suitable means of verification of the effort expended on a project. This may be the individual or it may be the direct supervisor. Confirmation of the effort expended must be made by a Primary Individual on the project (see definition below). A Supporting Individual may not confirm the effort expended on the effort report.

Effort Reporting Period: The designated period of time over which the effort is to be reported. UTMB reports effort semi-annually.

Inactive Awards: The award account has closed and is no longer active, payroll may not be charged.

Individual: An Individual is anyone who has paid effort and/or committed effort on a Sponsored Project. Where appropriate in this policy the following subcategories will be utilized

In Effect Commitment: Current Commitment % for the Period of Performance

Institutional Base Salary (IBS): The total guaranteed annual compensation an Individual receives from a UTMB, whether the individual's time is spent on research, teaching, patient care or other activities. The IBS shall be used to compute salaries charged to sponsored programs unless sponsor's policies further limit salary charges. IBS includes compensation for instruction, public service, research, and/or other activities. IBS excludes: fringe benefit payments; non-recurring merit payments; incentive payments; reimbursed expenses; temporary, supplemental compensation for incidental work; income earned outside of duties to the institution; and any portion of compensation deemed to be at-risk. IBS may or may not include additional payment, in special circumstances, by prior approval of Research Services. For the School of Medicine, this represents Part 1 and Part 2 of the Memorandum of Appointment for Faculty

Key Personnel: Individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested.
Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Key Personnel. Consultants should also be included if they meet the same definition. Key Personnel must devote measurable effort to the project whether or not salaries are requested. Key

personnel are generally listed on the Notice of Award and they may be designated as Primary or Supporting Individuals within the effort reporting system. An individual designated as key personnel (see definition before) may be either a Primary Individual or a Supporting Individual based on the unique circumstances of a specific Sponsored Project.

Mandatory Committed Cost Sharing: Cost Sharing required by the sponsor as a condition of obtaining an award. It must be included in the contract or grant proposal to receive consideration from the sponsor.

Non-Sponsored Certifiers Associated with Department: All individuals from the department not paid off pf a Sponsored Project during a period of effort period.

Non-Departmental Certifiers Associated with Department: Primary and Supporting Individuals paid in Sponsored Projects managed with your department but not belonging to your department.

Payroll: Individuals IBS that needs to be confirmed.

Post-Review Period: The designated period of time (30 days) when the confirmed and processed effort are reviewed and cost transfers are reviews for payroll adjustment

Pre-Closed Status: This is a PeopleSoft grants module status that is initiated when the Final Financial Status is completed for a Sponsored Project. Over-rides to this status require a higher level of review and are generally made only when expenses are being taken off a Sponsored Project. Research Services must make any necessary changes and a revised Final Financial Report must be filed.

Pre-Closing Status: This is a PeopleSoft grants module status that is triggered the day after a grant ends. Transactions initiated before the final day of the grant will be allowed to process in the PeopleSoft system but a “budget out of bounds” error will require manual over-ride by Research Services.

Pre-Review Period: The designated period of time (first 10 days) following the last payroll of the period and preceding the effort confirmation period where the Effort Coordinator can review compiled Effort Cards from all sponsored individuals.

Primary Individual: A person listed as principal investigator, project director, co-investigator, co-project director, or those with comparable responsibilities on a Sponsored Project application. A Primary Individual typically, but not always, carries an academic (i.e. faculty) appointment

Processing Period: The designated period of time (10 days of Post Review) when the confirmed Effort Cards are processed by the Effort coordinator.

Salary-cap Cost Sharing: The result of an Individual's Institutional Base Salary exceeding a sponsor's salary cap. The prorated excess is a form of mandatory Cost Sharing that must be funded by an appropriate and allowable source.

Sponsored Certifiers Associated with Department: All Primary and Supporting Individuals paid in Sponsored Projects within a Primary department.

Sponsored Project: An intramural or external funded activity that is governed by specific terms and conditions. Sponsored Projects must be separately budgeted and accounted for subject to terms of the sponsoring organization or unit. Sponsored Projects may include grants, contracts, and cooperative agreements for research, instruction and training, and other public service activities. Sponsored programs involve a specific commitment of time and can be either: 1) externally funded activities in which a formal written agreement, such as a cooperative agreement, contract, or grant is entered into by UTMB and by a sponsor for research, instruction and training, and other public service activities; or 2) internally funded for which the activities are separately budgeted and accounted for by UTMB as a result of a formal application and approval process within UTMB. For externally funded programs, the commitment of time can either be paid or unpaid by the sponsor (see Mandatory and Voluntary Committed Cost Sharing definitions). A Sponsored Program may be thought of as a transaction in which there is a specified statement of work with a related, reciprocal transfer of something of value.

Supporting Individual: An employee other than a Primary Individual who has expended effort on a sponsored program. The Supporting Individual may or may not have been identified on the funded application and typically does not have committed effort greater than the amount paid on a specific Sponsored Program. An individual designated as key personnel (see definition before) may be either a Primary Individual or a Supporting Individual based on the unique circumstances of a specific Sponsored Project.

System Administrator: Individual(s) in charge of ECRT, who will be the contact for ECRT related questions and issues.

Total Effort: The effort that the employee devotes in the agreement to the professional activities for which he or she receives IBS compensation from UTMB. Specifically excluded from total effort is time spent on outside consulting activities or other activities for which compensation is received from an entity other than UTMB.

Total Institutional Activities: Activities for which an Individual is paid by the UT Institution. Common activities include administrative duties, instruction, patient care, public service, and research.

Voluntary Committed Cost Sharing: Effort proposed that was not required by the sponsor and that is in excess of Effort paid by the sponsor and/or mandatory Cost Sharing.

Voluntary Uncommitted Cost Sharing: Effort that may benefit a project but was not committed in the proposal or award.

III.FAQ's

Effort Reporting
Frequently Asked Questions

1. **What is effort reporting?**

   UTMB uses ECRT Effort Cards to document that the compensation charges to its Sponsored Projects are appropriate.

   For example, if UTMB is charging 50% of an employee's Institutional Base Salary (IBS) to a Sponsored Project, UTMB must be able to document that the employee is devoting at least 50% of his or her total effort to that same project. The employee's confirmed Effort Card provides the required documentation for those charges.

2. **Why are ECRT Effort Cards important?**

   It is a legal requirement that UTMB maintain a compliant payroll distribution system.

   A compliant Effort reporting system is, therefore, a prerequisite to receiving federal funding.

   Compensation charges typically comprise the most significant direct cost component of a sponsored research project. It is therefore very important that UTMB be able to support such charges. The ECRT Effort Cards assure external research sponsors that their funds are being expended appropriately, i.e., solely for effort devoted to the Sponsored Project.

3. **How do I report my effort at UTMB?**

   UTMB has implemented an on-line system (ECRT) for employees to report their effort electronically. Employees access the System via the UTMB web page. Once logged into the system, employees select the portion of The Effort Lifecycle menu options.

4. **What must I do to ensure that I am compliant with federal and UTMB effort reporting requirements?**

   To comply with federal and UTMB effort reporting requirements, employees should report their effort timely and accurately. Reporting timely means completing your effort report within 30 days of the effort report date. Reporting accurately means always report your actual effort each reporting period.

5. **Which UTMB employees are involved in effort reporting?**

   All employees who work on Sponsored Projects must report their effort. Research Services provides guidance on the responsibilities of employees involved in effort reporting in "Vol I. Section III."

   - Primary Individuals are ultimately responsible for the effort reporting of all employees on their Sponsored Projects.
   - Supporting Individuals are employees who work on Sponsored Projects and must have their effort reported in ECRT.
   - Departmental effort coordinators (i.e. Lead Effort Coordinator, Effort Coordinator, Administrator, etc.) are administrative employees (at least one in each department) who have been designated by

their departments to help coordinate effort reporting in their departments and act as liaisons with Research Services regarding effort reporting policies and procedures.
- Research Services manages ECRT, monitors effort reporting, and provides ongoing education and training.

6. **As a Supporting Individual, will my effort reporting be monitored for timeliness and accuracy?**

Yes, effort reporting is monitored in several ways. The Primary Individual and your departmental effort coordinator should monitor your effort reporting on all Sponsored Projects be available to assist you if you miss any deadlines or if you have any questions. Your effort reports should also be monitored by your department for the possibility of any needed salary adjustments (cost transfers). Finally, Research Services, as part of its established Compliance Program, monitors the effort reporting of all employees and continually reassesses the need for education and compliance.

7. **If effort reporting is used to document compensation charges to sponsored research projects, why are other kinds of activities reflected on my Effort Card?**

Applicable regulations require that Effort Cards reflect the total activity within the scope of an employee's Institutional Base Salary (IBS). Effort Cards must, therefore, capture not only activity on sponsored research projects but also other Non-Sponsored Projects.

Only by capturing all of an employee's IBS-compensated activity can an Effort Card accurately reflect the proportion of an employee's time spent on a particular Sponsored Project, and the percentage of IBS that should be allocated to that project.

8. **Why is effort calculated on a percentage basis?**

Effort is calculated on a percentage basis because the government recognizes that different institutions have different policies with respect to the scope of their employees' duties. That is to say, 100% effort does not equate to any set number of hours. Using a percentage basis method allows an employee to estimate the amount of effort devoted to a particular Sponsored Project as a percentage of all of his or her activities and allows for a work schedule that is greater than or less than 40 hours per week.

9. **Provide examples of effort reporting scenarios.**

Example 1: Calculating effort.

- Dr. A is budgeted to devote 75% of her total effort to an NIH project and is paid from the grant at that rate.
- She puts in 30 hours a week on the project, but also spends 20 hours a week on her teaching and administrative responsibilities.
- Review Dr. A's effort entry below to see if it is correct.
- 30 hours is 75% of a 40-hour week, so on her Effort Card, report Dr. A enters 75% as her actual effort on the NIH project.
- Is that correct? No!
- Her actual effort is 60%. 30÷50. It is not permissible to calculate actual effort percentages on the basis of a 40-hour work week or any other "standard" work week.
- Actual effort must always be calculated and expressed as a percentage of total effort.

Example 2: Support from UTMB, NIH and supplementary compensation.

- Dr. B spends 40 hours a week devoted to NIH-funded research and 10 hours a week on non sponsored activity.
- Salary for Non-Sponsored Projects is paid to Dr. B as supplementary compensation (Non-IBS).
- Dr. B should certify that 97% (with 3% effort towards Non-Sponsored activity per the UTS 163 threshold levels) of her total effort is devoted to the NIH grant. All Non-Sponsored activity received as supplementary compensation is not part of total effort.

Example 3: Effort on awards and clinical trials.

- Dr. C has three NIH grants from which he derives 89% of his salary.
- In addition, he is the Principal Investigator on eight industry-sponsored clinical trials at 1% effort on each.
- Dr. C also serves as a Division Chief.
- If you were an auditor, would you view charging 89% of Dr. C's effort to Sponsored Projects as reasonable?
- No! As a Division Chief the maximum effort allowed on Sponsored Projects is 85%. The salary sourcing will need to be adjusted to move 4% salary onto non-sponsored sources. It will be necessary to review the commitments on the Sponsored Projects and notify Post Award of any commitment changes. As a result of this review, it may also be necessary to notify the sponsor of these changes.

Example 4: External consulting.

- Over the course of a week, Dr. D usually works on UTMB business 34 hours during the days (Monday through Friday) and 10 hours on nights and weekends.
- He spends about 6 hours each Monday consulting for an outside entity, and receives pay directly from that outside entity for this service.
- Dr. D averages 11 hours per week on NIH grant activities.
- Dr. D's total effort equals 44 hours.
- His NIH grants may be charged 11÷44, or 25%, of his Institutional Base Salary (IBS) for the period.

Example 5: Editorships.

- Dr. E serves as a journal editor, for which she receives no compensation from the journal and spends an average of 8 hours per week.
- No UTMB funds are used to support the journal activities and none of Dr. E's journal-related expenses are reimbursed by UTMB, although her administrative assistant is compensated by funds made available to UTMB by the journal.
- Dr. E may consider the time she spends with the journal as outside consulting, and does not have to include this effort in determining the overall hours that form the denominator (total effort) of her actual effort calculation.

Example 6: Adjusting effort due to new awards.

- Dr. F works 60 hours per week; 15 hours on an NIH grant and 45 hours on other UTMB activities. His actual effort for this grant was 25% (15÷60), consistent with the requested and funded amount.
- He then receives a second NIH award that provides support for 20% effort.
- Dr. F continues to expend 15 hours on the first grant and 45 hours on other professional activities, but now also devotes 15 hours per week to the second grant.
- The actual effort on Grant #1 should be reduced from 25% to 20% (15÷75).
- Note: NIH requires grantees to obtain prior approval if the Principal Investigator or another of the "key personnel" named in the grant award reduces his or her effort by 25% or more (e.g., reducing effort from 40% to 30% or less).
- In this example, even if Dr. F is the PI or one of the other "key personnel" named in the grant award, the reduction in his effort for the grant period need not be reported to NIH since it is less than 25%. (The reduction from 25% to 20% represents only a 20% reduction, and since it occurred

in the middle of the budget period for the grant, the reduction over the entire grant budget period will be even less than 20%.)

Example 7: Scientific meetings.

- Dr. G attends three different scientific meetings which cause Dr. G to be away for half the month.
- Is the time spent at those meetings allocable to his grants?
- Yes, if the primary purpose of the scientific meetings was the dissemination and exchange of technical information reasonably related to his grants.

Example 8: Vacation and sick leave.

- Dr. H is absent for one month for vacation and illness. During the remainder of the year he expends 80% actual effort on his grant activities.
- His salary is funded 80% from NIH grants.
- He can certify 80% actual effort on his Effort Card, even though he was absent for one month of the certified period.
- Note: There may be a requirement to notify NIH if absences are more prolonged.

Example 9: Effort without salary.

- Dr. I is involved in an NIH Sponsored Project to which she pledged 3% effort but did not request corresponding salary support.
- On her Effort Card, Sponsored Projects will appear because she has commitments on the NIH award.
- Note: Being listed as a potential mentor on training grants does not require effort or cost sharing.

Example 10: NIH Career Awards (K awards) – Special Rule.

- Dr. J works 40 hours per week at UTMB and 12 hours per week performing Non-Sponsored activities.
- Dr. J's K award requires him to devote 75% of his total professional effort to the award.
- To meet the 75% effort requirement, Dr. J must devote 39 hours to the K award activities, which is 75% of 52 hours.
- Non-Sponsored is included in total professional effort for K award compliance purposes even though it is not included in total effort for salary distribution purposes.

Example 11: Graduate student teaching and mentoring.

- Dr. K spends 3 hours a week teaching a course for graduate school credit to graduate students.
- She also spends an average of 4 hours a week mentoring each of the three graduate students assigned to her research, and 2 hours a week in a lab meeting discussing research issues relevant to her NIH funded project.
- The lab meeting and mentoring time can be considered as part of her effort devoted to the grant. But the course should be considered as Instruction and attributed to her non-sponsored effort.

Example 12: Inconsistent documentation of "Other Support."

- Dr. L fails to list six industry-sponsored clinical trials (aggregate of 5% effort) on his NIH Biographical Sketch and his just-in-time Other Support page submitted to NIH.
- If this is brought to the NIH Grants Management Officer's attention, NIH could argue that this information was necessary to the scientific and/or administrative review process, and the grant was inappropriately awarded.
- NIH could order UTMB to return funds already expended and those remaining from the award, and could seek to impose penalties on Dr. L and UTMB.

Example 13: NIH Salary Cap.

- Dr. M has an Institutional Base Salary of $300,000 and expended 10% of her total effort on an NIH grant.
- The NIH Salary Cap at the time was $180,100. (For current NIH Salary Cap limits, please refer to the web link: http://grants.nih.gov/grants/policy/salcap_summary.htm)
- In this example, with the NIH Salary Cap amount noted, only $18,010 may be charged to the grant (10% of $180,100).
- Salary charged to the grant may not be $30,000 (10% of $300,000).
- The $11,900 difference between the capped rate and the uncapped rate may not be charged to any Sponsored Project or used to satisfy a cost sharing commitment. The difference, however, needs to be tracked for UTMB's F&A (indirect cost) rate calculation.

Example 14: Voluntary committed and uncommitted cost sharing.

- Dr. N commits 40% of her effort to an NIH grant, and meets that commitment by expending 40% of her total effort on the grant.
- However, only 30% of Dr. N's salary is charged to the grant.
- The 10% of Dr. N's salary that is not charged to the grant is voluntary committed cost sharing.
- In filling out the Effort Card, Dr. N should show her actual effort on her NIH grant as 40%, even though the actual payroll allocation within the Effort Card will be only 30%.
- The 10% difference between the committed effort and effort charged to the grant is tracked by UTMB for F&A rate calculation purposes, where applicable, and/or to document fulfillment of cost sharing commitments.
- If Dr. N had committed and charged only 30% effort to the grant but had voluntarily expended 40% effort, the 10% would be uncommitted cost sharing and UTMB would not have to track it as such. In filling out the Effort Card, Dr. N should still charge 40% to the Sponsored Project.

10. **I work on a Sponsored Project but am not sure if it is funded by a federal source. How do I find out about the source of funds for this particular project?**

    The Principal Investigator of the Sponsored Project, your immediate supervisor, and/or the administrative personnel in your home department should be able to inform you about the source of funds for the Sponsored Project.

11. **I work on Sponsored Projects that involve funds from a private university and the American Heart Association. Do I have to report my effort on those projects?**

    Yes. Effort Reporting is required for those individuals that work on grants that are managed within the PeopleSoft Grants Module (Sponsored Projects).

12. **How often must I report my effort?**

    UTMB reports effort on a semi-annual basis. For Faculty members and Administrative/Professional (A&P) employees (and any employee paid on a monthly basis), ECRT Effort Cards reflect a time period of six months. For example, if an Effort Card is dated August 31, the faculty member is reporting effort expended during March, April, May, June, July and August.

    Classified employees (those employees paid on a bi-weekly basis) report effort on a semi-annual basis tied to the bi-weekly pay cycles. For example, in FY08 the two Effort Cards cover the following timeframes:

    August 25, 2007 - February 22, 2008
    February 23, 2008 - August 22, 2008

13. **I have been a UTMB employee for several years but I have just now started working on (and being paid from) a Sponsored Project. Must I notify Research Services to make sure the ECRT System generates Effort Cards for me?**

    No, you will not have to notify Research Services. ECRT automatically generates Effort Cards s for all employees who are paid by Sponsored Projects.

14. **I work on a Sponsored Project but do not receive any pay from it. Since my effort commitment is documented in the project award, I know that I am required to report my effort. How will I be able to do that if the ECRT System automatically generates Effort Cards only for those employees who are paid by Sponsored Projects?**

    Your situation is referred to as "cost sharing" and you are correct in stating that you are required to report your effort. Contact departmental effort coordinator for assistance. It is a simple matter to adjust your information in ECRT so that the system will generate an Effort Card for you each reporting period. Inform the departmental effort coordinator about the Sponsored Project on which you must document your effort, and it will be manually added to your Effort Card.

15. **How will I know when there is an effort report available for me to document my effort in the ECRT System?**

    The ECRT System automatically notifies employees by e-mail when a new Effort Card is available for reporting purposes. If you do not have an e-mail account, you should contact your departmental coordinator and request that an e-mail account be established for this purpose.

16. **What password do I use to log into the on-line ECRT System?**

    Employees use their existing UTMB user name and password to log into the ECRT System. If you experience any problems with the login procedure, contact Research Services at 266-9400, or email ecrt.help@utmb.edu.

17. **How do I obtain training on effort reporting?**
    - To access ECRT, all employees with ECRT roles must complete mandatory training. On-line training is available at http://training.utmb.edu.
    - Access the on-line Effort Reporting User Manual via the Research Services web page. Overviews of the effort reporting process and compliance requirements are provided, as well as a description of the roles and responsibilities of each employee involved in effort reporting (the Primary and Supporting Individuals, departmental effort reporting administrator, and Research Services).
    - Review the on-line educational resources available on the Research Services website.
    - Attend a training session provided by Research Services. This training provides an overview of effort reporting and the step-by-step process involved. A schedule of the training sessions is available from the Research Education web page or by calling 266-9400, or emailing ecrt.help@utmb.edu.

18. **My department has just designated me as a departmental effort coordinator. Where can I learn about my new responsibilities?**
    - To access ECRT, all employees with ECRT roles must complete mandatory training. On-line training is available at http://training.utmb.edu.
    - Review the on-line Effort Reporting User Manual via the Research Services web page.
    - Review the on-line educational resources available on the Research Services website.
    - Attend a training session provided by Research Services. This training provides an overview of effort reporting and the step-by-step process involved. A schedule of the training sessions is available from the Research Education web page or by calling 266-9400.
    - Additional training is suggested since the departmental effort coordinator must be able to manage the ECRT for their entire department, and act as a liaison to Research Services regarding effort reporting policies and procedures. Contact Research Services at 266-9400 to schedule training specific to your individual needs.

19. **I have logged into the ECRT System successfully, but after my user name and password are accepted, all that shows is a blank screen.**

    Contact Research Services at 266-9400 or ecrt.help@utmb.edu for assistance.

20. **What happens if I, the Primary Individual, miss the 20-day deadline to report effort?**

    Once you have missed the 20-day deadline, you will no longer have access to the “certify” button. The Lead Effort Coordinator will have 10 days to access all incomplete Effort Cards. You must contact your departmental Lead Effort Coordinator for assistance. Note: After the Lead Effort Coordinator’s 10-Day Post Review, incomplete Effort Cards are considered to be delinquent.

21. **Am I able to use my personal computer to log into the ECRT System so that I may complete my Effort Cards from home?**

    Due to UTMB information security policies, the ECRT System is most easily accessed from a UTMB computer that is on-campus or at a UTMB facility. However, remote access is available through use of a UTMB modem pool number or Virtual Private Network (VPN) connection, a secure access to UTMB computing resources to and from the Internet that has been established by Information Services. To obtain remote access, you must contact your department’s Trusted Requestor and obtain permission to have a "Request for VPN Alias" form completed for you on the Information Resources Access Management (IRAM) website.

22. **I work off-campus and am not able to log into the ECRT System, but I work on a Sponsored Project. How can I report my effort?**

    - If you do not have access to a UTMB computer or to a UTMB modem pool number or Virtual Private Network (VPN) connection, then you must contact your departmental effort coordinator. He/she will assist you by sending you an Effort Card (PDF file) for you to complete and sign. The departmental effort reporting coordinator may then enter your effort into the ECRT System and attach a scanned copy of this documentation.

23. **I successfully logged into the ECRT System and clicked on "Certify my Effort” to access my current Effort Card. What do the project numbers mean on the left-hand side of the Effort Card?**

    To learn the details of the projects showing on your Effort Card, you may scroll over the description to see the commitments and Principal Investigator contact. You may also click on any of the project numbers on the left-hand side of the report screen. This brings up a new screen which shows a summary of the funding information. To return to the report screen, click on the "Back" button of your browser. For additional information, contact your departmental effort reporting administrator, or Research Services at 266-9400 or ecrt.help@utmb.edu.

24. **On my Effort Card, it seems as if some of my current projects are not showing. What should I do?**

    Contact your departmental effort coordinator. There may have been an error during the loading process of the Effort Cards. Other employee Effort Cards might have been affected as well. Additional chartfield strings can be added and your departmental effort coordinator should be able to assist you with this.

25. **Where would I document my effort spent on writing new proposals?**

    Effort related to activities such as gathering data for a proposal or the writing of a new proposal would be documented on the Non-Sponsored Project.

26.

I am a faculty member. Are there any activities that I should not include when I estimate my effort?

Yes, as a faculty member you might have some hours that should not be included when you estimate your hours worked, such as hours spent on non-UTMB activities. Effort spent as an officer for a professional society, for example, should not be included in your effort reporting. Effort spent as a consultant for an outside project on your own time should also not be included. However, hours worked as a consultant through a formal sub-award to UTMB from another site, in which you are participating as a UTMB employee, should be included.

27. **I work on two Sponsored Projects. That work is all I do for UTMB and the total amount of work adds up to only 8 hours per week. Working so few hours for UTMB, what percentage should my effort percentage total on my Effort Cards?**

    No matter how few hours you work for UTMB, your total effort percentage will still be 100%. Whatever hours you work for UTMB that is your "100%" .

28. **I am a faculty member and I realize that the effort I expend on my Sponsored Project may change and will be different from what I committed to in the project award. What must I do regarding my effort commitment?**

    Your change in effort may represent a change in the work scope of the Sponsored Project, and this change may need to be communicated to the sponsoring agency. For example, NIH guidelines require notification for any change in effort of 25% or greater for key personnel.

    For example, if an effort commitment is 40% and the actual effort is decreased to 30%, this represents a 25% change and would require notification if the employee was listed as key personnel on the award.

    Your assigned Post-Award Specialist can assist you in determining the appropriate procedure regarding a change in committed effort.

29. **I am transferring to another department but will continue to work on Sponsored Projects. Will my transfer result in any delay in my Effort Cards?**

    You will always be able to log into the ECRT and access your current Effort Card from any UTMB computer. Transferring to a different department will neither affect your ability to report your effort nor release you from your responsibility to report your effort in a timely manner.

    Notify the departmental effort coordinator in your new department and request that he/she contact Research Services. Your information in the ECRT System will be moved to your new department when the new department information is captured in the HCM system so that your new departmental effort coordinator will be able to assist you as needed.

30. **I am resigning my position at UTMB. Do I need to notify Research Services regarding my final Effort Card?**

    If you have been reporting effort and plan to resign your position at UTMB, notify your departmental effort coordinator. He/she will review your Effort Cards to make sure they are complete up through the time of your resignation. Since effort reporting is an after-the-fact confirmation of effort, an Effort Card will probably be generated for you after you have gone. The departmental effort coordinator will then work with the Principal Investigator or your immediate supervisor to obtain the information necessary to complete your final Effort Card, as those two individuals are generally considered to satisfy the requirements of "responsible persons" in relation to effort reporting.

IV. Record Retention

The record retention guidelines for documents concerning effort reporting are the same as those for other Sponsored Projects. According to OMB Circular A-100 financial records, laboratory notebooks, supporting documents, statistical records, and all other record pertinent to the Federal Award, shall be retained for a period of three years from the date of the quarterly annual or final financial report. Record retention guidelines for other Sponsored Projects may vary and reference should be made to the sponsor guidelines.

Documents that are electronically attached to the ECRT system will be considered as the original documentation and no further paper copies need to be maintained at the department. Research Services will assume the responsibility for the record retention for electronic ECRT records.